

**DEPARTMENT OF DEFENSE  
CIVILIAN HUMAN CAPITAL  
GUIDE  
FOR  
PANDEMIC PLANNING**

*“Preparation is Power”*

**May 2007**

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# **DEPARTMENT OF DEFENSE CIVILIAN HUMAN CAPITAL IMPLEMENTATION PLAN FOR PANDEMIC INFLUENZA**

*“Once again, nature has presented us with a daunting challenge: the possibility of an influenza pandemic. We have an opportunity to prepare ourselves, our Nation, and our world to fight this potentially devastating outbreak of infectious disease.”*

*- President George W. Bush,  
National Strategy for Pandemic Influenza*

## **PURPOSE**

The chronicles of mankind are replete with outbreaks of disease on a large scale. It is highly probable that such ordeals will continue in the course of human history. One such event is pandemic influenza, a global viral disease outbreak that would cause mass severe human illness or death. Diseases in this category spread easily across multiple populations due to significant human interaction and a lack of immunity. Federal agencies must plan to deal with the potential human capital implications of such events.<sup>1</sup> Since our people accomplish our mission, a pandemic influenza outbreak is likely to compromise DoD’s ability to accomplish its objectives. This guide is designed to assist the Department of Defense (DoD) civilian workforce in preparation and readiness for such an outbreak, and will offer actions to mitigate its effects.

Continuation of government services is paramount in moderating emergency situations. Communication of information is critical prior to and during an actual pandemic event, and must be included in the planning phase. This guide provides information for managers, supervisors and the civilian workforce on alternative work arrangements, benefits, pay and leave flexibilities, and other human resource issues to assist in both planning and communication during a pandemic health crisis.

## **BACKGROUND**

The President issued the Homeland Security Council *National Strategy for Pandemic Influenza* in November, 2005 to guide “our preparedness and response to an influenza pandemic with the intent of:

1. Stopping, slowing or otherwise limiting the spread of a pandemic to the United States;
2. Limiting the domestic spread of a pandemic, and mitigating disease, suffering and death;

3. Sustaining infrastructure and mitigating impact to the economy and the functioning of society.”<sup>2</sup>

The *National Strategy* is built upon three pillars “to address the full spectrum of events that link a farmyard overseas to a living room in America.”<sup>2</sup> they are:

Pillar #1. Preparedness and Communication

Pillar #2. Surveillance and Detection

Pillar #3. Response and Containment

The Department of Defense’s principal responsibility in responding to a pandemic crisis will be to protect U.S. interests at home and abroad. The Department of Defense, *Implementation Plan for Pandemic Influenza*, signed in August 2006, sets forth the Department’s guidance and addresses key issues for pandemic influenza planning. The DoD implementation plan provides authority to “enable the Combatant Commanders, Military Departments, and DoD agencies to develop plans to prepare for, detect, respond to, and contain the effects of a pandemic on military forces, DoD civilians, DoD contractors, dependents, and beneficiaries.”<sup>3</sup> The Office of Personnel Management (OPM), in conjunction with human resource representatives throughout the Federal government, has developed a comprehensive guide providing information for Federal agencies and departments regarding the topic, *Human Capital Planning for Pandemic Influenza*. It is available at [www.opm.gov/pandemic](http://www.opm.gov/pandemic).

## **PLANNING ASSUMPTIONS FOR PANDEMIC INFLUENZA**

Pandemics are unpredictable. There is no way to know the characteristics of a pandemic virus before it emerges; however, certain assumptions must be made to facilitate planning efforts. Planning information in this guide was developed based on the following assumptions outlined in the *National Strategy for Pandemic Influenza Implementation Plan*:

1. Susceptibility to the pandemic influenza virus will be universal.
2. Efficient and sustained person-to person transmission signals an imminent pandemic.
3. Some persons will become infected but not develop clinically significant symptoms. Asymptomatic or minimally symptomatic individuals can transmit infection and develop immunity to subsequent infection.
4. While the number of patients seeking medical care cannot be predicted with certainty, in previous pandemics about half of those who became ill sought care. With the availability of effective antiviral drugs for treatment, this proportion may be higher in the next pandemic.
5. Rates of serious illness, hospitalization, and deaths will depend on the virulence of the pandemic virus and differ by an order of magnitude between more and less severe scenarios. Risk groups for severe and fatal infection cannot be predicted with certainty but are likely to include infants,

- the elderly, pregnant women, and persons with chronic or immunosuppressive medical conditions.
6. Rates of absenteeism will depend on the severity of the pandemic. In a severe pandemic, absenteeism attributable to illness, the need to care for ill family members, and fear of infection may reach 40 percent during the peak weeks of a community outbreak, with lower rates of absenteeism during the weeks before and after the peak. Certain public health measures (closing schools, quarantining household contacts of infected individuals, are likely to increase rates of absenteeism.
  7. The typical incubation period (interval between infection and onset of symptoms) for influenza is approximately two days.
  8. Persons who become ill may shed the virus and can transmit infection for one-half to one day before the onset of illness. Viral shedding and the risk of transmission will be greatest during the first two days of illness. Children will play a major role in transmission of infection as their illness rates are likely to be higher, they shed more viruses over a longer period of time, and they control their secretions less well.
  9. On average, infected persons will transmit infection to approximately two other people. Epidemics will last six to eight weeks in affected communities.
  10. Multiple waves (periods during which community outbreaks occur across the country) of illness are likely to occur with each wave lasting two to three months. Historically, the largest waves have occurred in the fall and winter, but the seasonality of a pandemic cannot be predicted with certainty.

## **STAGES OF THE FEDERAL GOVERNMENT RESPONSE**

The *National Strategy for Pandemic Influenza Implementation Plan*, provides a framework for Federal Government actions. The plan characterizes the stages of an outbreak in terms of the immediate and specific threat of a pandemic virus poses to the U.S. population:

- Stage 0: New Domestic Animal Outbreak in At-Risk Country
- Stage 1: Suspected Human Outbreak Overseas
- Stage 2: Confirmed Human Outbreak Overseas
- Stage 3: Widespread Human Outbreaks in Multiple Locations Overseas
- Stage 4: First Human Case in North America
- Stage 5: Spread throughout United States
- Stage 6: Recovery and Preparation for Subsequent Waves

The DoD *Implementation Plan for Pandemic Influenza* describes critical planning categories. Each DoD Critical Planning Category is aligned to a national strategy pillar.

## WORKFORCE IMPLICATIONS OF PANDEMIC INFLUENZA

Three influenza pandemics occurred during the 20<sup>th</sup> century with catastrophic loss of life. In 1918, influenza killed approximately forty million people. In another outbreak in 1947, two million died. In spite of the advent of more advanced medical interventions, over one million people died from influenza worldwide in 1968. Tens of thousands of people die annually from influenza, even when a pandemic flu event has not occurred. Flu of any nature can negatively impact the workforce and possibly interrupt services and the flow of goods. Current planning assumptions for a pandemic influenza include a 40% absenteeism rate that may last from six to twelve weeks within a region or country where pandemic influenza is occurring. Managers and supervisors must consider these numbers when planning for such an event. Planning must be undertaken to create the potential for redundancies in operations. This guide provides assistance and information on the programs and flexibilities available to Federal managers and employees to help lessen the effects of a potential pandemic outbreak.

## CIVILIAN WORKFORCE PLANNING AND PREPAREDNESS

The *National Strategy for Pandemic Influenza Implementation Plan* provided specific tasks to be accomplished by assigned agencies. The Department of Defense has the lead on several of these tasks, one being to provide guidance on Personnel Protective Measures. The Department is tasked to have policies and procedures in place that will protect personnel; this may include restriction of movement, cancellation of public gatherings, social distancing and “other measures necessary to prevent influenza transmission.”<sup>3</sup> Health Affairs has the lead on this and most other tasks in the Department’s plan, however, the following Annexes provide amplifying information on practices DoD leadership should follow in planning for, and coping with, a pandemic.

<sup>1</sup> Office of Personnel Management, *Human Capital Planning for Pandemic Influenza*, (August, 2006)

<sup>2</sup> Homeland Security Council, *National Strategy for Pandemic Influenza*, (November, 2005)

<sup>3</sup> Department of Defense, *Implementation Plan for Pandemic Influenza*, (August, 2006)

<sup>4</sup> Homeland Security Council, *National Strategy for Pandemic Influenza Implementation Plan* (May, 2006)

The provisions contained in this guide apply to DoD Nonappropriated Fund (NAF) activities, unless otherwise stated.

Changes or updates to issues addressed in this guide will be posted on [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters).

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## ANNEX A, ACCOUNTABILITY OF EMPLOYEES

Management is responsible for maintaining an up-to-date list of personnel assigned by unit or organization, as well as those serviced by the installation. Emergency contact information for each employee is crucial to obtain 100% personnel accountability. Procedures should already be in place for communicating information to the workforce in emergencies. For example:

- Telephone trees; i.e., structured lists of phone numbers (home, cell, emergency contact individual) that can be used to get the word out.
- Call-in systems for use for employees to report availability for work and their own health status
- Live hotlines for employees to call to request information or for customers to request assistance
- Recorded information lines to be used by employees to obtain information

Managers should ensure plans and procedures are in place to drive emergency report-in response from the bottom up, including accountability of civilian personnel and as appropriate, contractors. Employees must be made aware of pre-established toll free numbers for emergency report-in, as well as pre-established web site and e-mail addresses. Each component has established a toll-free number to serve as a report-in capability for employees. These toll-free numbers are to be used during an emergency situation; including a pandemic influenza event.

<b>DoD Component</b>	<b>Appropriated Fund Employees Contact Number</b>	<b>Nonappropriated Fund Employees Contact Numbers</b>
Department of the Air Force	800-435-9941	800-435-9941
Department of the Army	800-833-6622	877-384-2340
Department of the Navy	877-414-5358	CNIC: 877-414-5358 NEXCOM: 866-878-1776
United States Marine Corps	877-414-5358	877-211-1518
All Defense Agencies	877-521-1923	DLA and WHS NAF employees use the Army NAF number 877-384-2340
Army and Air Force Exchange Service (AAFES)	N/A	800-508-8466
DoD Civilian Hotline	888-363-4872	888-363-4872
<a href="mailto:disasterresponse@cpms.osd.mil">disasterresponse@cpms.osd.mil</a>	888-DoD4USA	888-DoD4USA

Employees should be provided wallet cards with the emergency call-in procedures



so that they are aware, prior to the need, of how to report-in in the event of an emergency situation. A sample wallet card is available at the end of this guide and at [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters). Report-In procedures should be exercised and included in personnel orientation and “in-processing” to ensure rapid response and familiarity before a disaster or contingency occurs.

DoD Instruction 3001.02, “Personnel Accountability in Conjunction with Natural or Manmade Disasters,” August 8, 2006, requires that employees update the Emergency Contact Information on DD Form 93, “Record of Emergency Data.” The information required on DD Form 93 may also be updated through an automated personnel data system utilized by the component, for example, the Defense Civilian Personnel Data System (DCPDS), MyBiz (available in January 2007). Another excellent example of an automated tool for employee accountability is the Navy Family Accountability and Assessment System (NFAAS), which may be adapted for use by other any components or agencies.

A redundant system should be deployed to ensure availability of data in case an original document is not accessible. Data systems must have a back-up file at a geographically separate location.

DoD Instruction, 3001.02 explains personnel are considered accounted for when any of the following occur:

- The person is physically present.
- The person has been contacted or has made contact.
- The person is in an official status of unauthorized absence, desertion, deceased, or missing.
- A family member indicates the employee’s status or the status is verified through other means.

All emergency data and procedures should be updated at least annually to maintain viability. Supervisors could use the annual performance review meeting to accomplish this update with each employee.

Employee notification and report-in procedures must meet the requirements of Section 508 of the Rehabilitation Act, as amended (29 U.S.C. 794d), and implementing regulations at 36 CFR Part 1194 and 48 CFR Parts 2, 7, 10, 11, 12, and 39. This includes all electronic and information technology including any product used to acquire, store, manipulate, or transmit information. Section 508 of the Rehabilitation Act strives to ensure that people with disabilities have the same or comparable access to Federal government information and services as federal employees or members of the public without disabilities. For more information on Section 508 see <http://www.section508.gov/>.

## ANNEX B, REPORTING REQUIREMENTS

The Office of Personnel Management (OPM) has established specific data to be collected during a pandemic influenza. The data includes: leave usage; death trends; and telework usage. Data will be collected primarily through automated systems. . Payroll providers will supply information on certain categories of paid and unpaid leave, by agency and State, which will be compared to prior-year baseline data. Agencies will report deaths by any cause, and those numbers will also be compared to baseline data. Agencies will also be required to report on employees who are teleworking from alternative worksites, including their homes. The Defense Civilian Pay System (DCPS), Time and Attendance reporting application, can capture this data if the proper coding is used. To facilitate this data collection, Commands are strongly encouraged to use the telework code in DCPS for all employees who are teleworking.

OPM has provided instructions on specific reporting requirements in the OPM Guide, *Human Capital Planning for Pandemic Influenza*. Information to be collected by payroll and personnel can be reviewed at [www.opm.gov/pandemic/agency/tracking.asp](http://www.opm.gov/pandemic/agency/tracking.asp). Agencies will be notified if and when this reporting needs to begin and will be furnished the contact point to which reports should be sent.

When reporting is required, payroll providers will prepare the following:

- Total number of Federal civilian employees employed by the agency on the last day of each reporting period. The base-line reporting periods are the 14-day biweekly pay period for the previous year. The reporting period is the most recent 14-day biweekly pay period.
- Total number of paid leave hours used during each reporting period. Paid leave includes annual leave, sick leave, excused absence (i.e., administrative leave), earned compensatory time off, earned compensatory time off for travel, and earned credit hours. Paid leave excludes military leave, home leave, shore leave, military funeral leave, court leave, and bone-marrow/organ donor leave.
- Total number of unpaid leave hours used during each reporting period. Unpaid leave includes leave without pay, leave without pay under the Family and Leave Act, and furlough. Unpaid leave excludes absence without leave (AWOL), suspension, military leave without pay (LWOP-US), and workers' compensation (OWCP) leave without pay.

When reporting is required, departments and agencies will be required to provide the following data to OPM after the end of each pay period:

- The number of Federal civilian employees who worked from a location other than their official worksite at any time during the reporting period.

Include in this count any telework employees or employees receiving evacuation pay who continue to work from home (or an alternate telework site) during a pandemic influenza. Employees on TDY or other official travel status are not to be included.

- The total number of Federal civilian employees who died since the beginning of the first reporting period, as determined by OPM. Because the cause of death is not tracked or input by a specified code, departments and agencies will not be required to annotate the cause of death.

NAF employee data is not required to be reported to OPM. However, DoD 3001.02 policy on personnel accountability applies to nonappropriated fund employees. Under that Instruction, Heads of Components are required to work with the Defense Manpower Data Center (DMDC) to define how personnel accountability will be reported to DMDC.

## **ANNEX C, CONTINUITY OF OPERATIONS AND IDENTIFICATION OF ESSENTIAL EMPLOYEES**

“National policy requires a comprehensive and effective program to ensure the survival of our constitutional form of government and continuity of national essential functions. The policy requires DoD to support its own departmental mission requirements, as well as those of other government institutions, when directed by the President or the Secretary of Defense, with plans and capabilities to help preserve the continuity of government. To accomplish this, DoD must insure that the capability exists to continue essential functions in the event of a disruption to operations.”

Department of Defense *Implementation plan for Pandemic Influenza*, Annex D. (August 2006)

A pandemic health crisis will present issues that have not normally been anticipated in regular Continuity of Operations (COOP). The social distancing required to mitigate a pandemic could require the dispersion of the workforce from their regular place of work, especially if the employees' homes are designated as safe havens. COOP plans that reflect a large percentage of the workforce geographically dispersed and working remotely, must be developed and exercised. Information technology requirements to support massive remote connectivity, including hardware, software, communication lines, encryption and security must also be addressed. Finally, pandemic COOP plans should address the need for more robust lines of succession to contend with the anticipated high absenteeism rates a pandemic could engender.

The Director of National Security Coordination for the U.S. Department of Homeland Security, Federal Emergency Management Agency (FEMA), issued a memorandum on March 1, 2006, subject; Continuity of Operations (COOP) Pandemic Influenza (available at [www.cpmc.osd.mil/disasters](http://www.cpmc.osd.mil/disasters)) directing Federal Executive Branch departments and agencies to incorporate pandemic influenza considerations into Continuity of Operations (COOP) planning. FEMA Federal Preparedness Circular (FPC) 65, Federal Executive Branch Continuity of Operations (COOP), provides guidance to Federal Executive Branch departments and agencies for use in developing contingency plans and programs for COOP. The FPC 65 is available on the FEMA website [www.fema.gov](http://www.fema.gov). Sample COOP guides and templates are available on the FEMA site at [http://www.fema.gov/doc/government/coop/coop\\_plan\\_blank\\_template.doc](http://www.fema.gov/doc/government/coop/coop_plan_blank_template.doc) (or by searching for “COOP” on the search tool at [www.fema.gov](http://www.fema.gov)). The instructions and accompanying template were designed to assist Federal Executive Agencies in development of COOP plans that satisfy guidance in FPC 65 and improve COOP capabilities of an organization. Command and installation COOP plans should be consulted and complied with.

DoDD 3020.26, Defense Continuity Program (DCP), September 8, 2004, establishes DoD policy that, “the Department of Defense shall have a comprehensive and effective Defense Continuity Program that ensures DoD Component Mission Essential Functions (MEF) continue under all circumstances across the spectrum of threats...” and that “all Defense continuity related activities and requirements, to include Continuity of Operations, Continuity of Government and Enduring Constitutional Government, shall be coordinated under the DCP.”

The potential rate of absenteeism will most likely affect delivery of essential goods and availability of essential services. All of these considerations must be taken into account in forward planning for a pandemic influenza. Managers and supervisors of civilian employees must identify MEFs and those essential employees who will ensure continuity of operations and government in the event of a pandemic health crisis. To ensure continuity of operations and government, managers should pre-determine and have in place, emergency delegations of authority and orders of succession for key positions. Also important to continuity planning is training of continuity staffs and addressing information and technology and communications support to continuity operations. Command and installation COOP plans should include the civilian workforce. Managers and supervisors of civilian employees are encouraged to review local and command plans to ensure their employees have been considered in the planning and to conduct COOP exercises to determine strengths and weaknesses and take corrective actions as needed. COOP Plans must include:

- The ability to maintain sustained operations until normal business activity can be reconstituted, which may be longer than 30 days (six to eight weeks is recommended).
- Procedures to ensure essential services can be provided if employee absenteeism reaches 40 percent.
- Activation phases based on pandemic alert levels, the proximity of outbreak to organization’s offices/facilities, and reoccurring outbreaks.
- Appointment of a senior manager and Influenza Team consisting of essential stakeholders capable of addressing issues related to pandemic influenza planning.
- A health focus to minimize the effects of a pandemic on staff and operations.
- Strategies that address the needs of disabled employees.

## **Essential Functions**

Essential functions are those functions that enable organizations to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency. During a

pandemic, or any other emergency, these essential functions must be continued in order to facilitate emergency management and overall national recovery. MEFs must be identified, taking into consideration the potential impact of a pandemic:

- Select essential functions considering the dynamic nature of a pandemic.
- Reexamine prioritization of essential functions resulting from duration and personnel impact.
- Identify essential functions that cannot be performed from home or other locations.
- Identify critical systems and operations that can be redistributed and supported from other offices.
- Consider additional business services critical to meeting organizational missions.
- Review the effect of a pandemic on essential contract and support services and organizational operations, and develop mitigation strategies.
- Consider the need for cross-training to ensure essential staffs are available to perform functions.
- Continue to perform essential functions beyond the existing 30 day requirement.

### **Delegation of Authority**

Clearly pre-established delegations of authority are vital to ensuring all organizational personnel know who has authority to make key decisions in a COOP situation. Because absenteeism may reach a peak of 40 percent at the height of a pandemic wave, delegations of authority are critical.

These delegations of authority must:

- Be at least three deep per responsibility to take into account the expected rate of absenteeism.
- Plan for geographical dispersion, taking into account the regional nature of an outbreak.

### **Orders of Succession**

Just as important as Delegations of Authority, Orders of Succession are essential to an organization's COOP plan to ensure personnel know who has authority and responsibility if the leadership is incapacitated or unavailable in a COOP situation. Since influenza pandemic may affect regions of the United States differently in terms of timing, severity and duration, it is encouraged that geographical dispersion be considered when decisions regarding Orders of Succession are made.

Orders of succession must:

- Be at least three deep per position to take into account the expected rate of absenteeism.
- Plan for geographical dispersion, taking into account the regional nature and possibility of different orders of succession depending on the spread of the pandemic.
- Establish an order of succession to other key leadership positions.
- Identify the orders of succession by positions or titles, rather than by name.
- Establish rules and procedures for successors.
- Ensure all successors are trained to assume the lead position.
- Ensure plans incorporate rules pertaining to the succession of command of military organizations.

### **Alternate Operating Facilities**

Fundamentals of COOP planning include the identification and preparation of Alternate Operating Facilities, the preparation of personnel for possible relocation of essential functions, and relocation of COOP personnel to these facilities to ensure continuity of essential government operations. During an influenza pandemic, however, special consideration must be given to “social distancing” in the workplace through telecommuting, or other means, as an alternative to staff relocation/co-location. Identifying and acquiring alternate operating facilities should include consideration of the following:

- The geographical location:
  - o Initiate distributed or dispersed DoD operations.
  - o Make use of existing department or agency field, branch or satellite locations.
  - o Ensure accessibility for employees with disabilities.
  - o Telecommuting locations, such as telecenters
  - o Telecommuting from home.
  - o Virtual offices.
  - o Joint or Shared facilities.
- Determine which essential functions can be conducted from a remote location (e.g., home) and those that need to be performed at a designated department or agency facility.
- For those functions that must be performed in the workplace, ensure workstations are sufficiently spaced to allow social distancing.
- Consider reliable logistical support, services, and infrastructure systems at facilities that remain open, including alternate operating facilities.
  - o Prioritization/determination of accessible facilities/buildings (as alternative to relocating to remote facility)
  - o Necessary support staff

- o Social distancing policies
- o Medical screening of employees
- o Health/medical units
- o Sanitation
- o Essential services
- o Food/water
- Consider the impact local quarantines may have on open/accessible facilities and operating plans.
- Perform a risk assessment to determine the risk to personnel of moving them to an alternate facility if there is a potential for exposing the COOP personnel to infected individuals.
- Ensure the health, safety and security of relocated personnel including medical screening and health monitoring, if available and sustainable at the alternate facility.
- Ensure a timely and orderly recovery from the alternate facility only after it has been verified that the pandemic influenza threat has been neutralized at the pre-deployment site.

Collaboration between the Services, Commands, Installations and regions are advised and encouraged to ensure reciprocal assistance and continuing service when a location is impacted. Memorandums of Understanding (MOU) should be established to ensure a “buddy system” is planned to support the affected area’s data and support system during and following a catastrophic event, including a pandemic influenza.

Past events such as the Hurricanes of 2005 have shown the need for establishment of “evacuation/disaster response expert” positions at all levels. Development and training of cross-functional teams for emergency response is essential for continuity of operations. These teams should be required to coordinate with other DoD/Federal agencies to harmonize plans, dissemination of information and assistance as needed.

### **Interoperable Business Communications**

The success of a viable COOP capability from alternate facilities or homes is dependent upon the identification, availability and redundancy of critical systems to support business communications throughout the organization, and with external partners, critical customers, and the public. Elements of an effective communications plan should include:

- Planning that carefully considers the use of laptops, high-speed telecommunications links, Personal Digital Assistants (PDAs), and other systems that enable employees to effectively communicate with all internal and external stakeholders from a remote site.



- Tests and exercises that assess the effectiveness of the communications systems, i.e., could connectivity be made; were messages understandable; could return messages be made; were they understandable; and was archiving capability possible.
- Backup plans to use if communications infrastructure fails as a result of surge in demand.

## **Vital Records and Databases**

Identification, protection, and ready availability of electronic and hardcopy documents, references, records, and information systems needed to support essential functions during a COOP situation must be accomplished before an emergency. Vital records and databases must be accessible. Pandemic influenza planning must include the identification and maintenance of vital systems that rely on periodic physical intervention by essential individuals to ensure a backup is available to perform required maintenance in the event of absence of the primary person.

An effective vital records program must also include:

- Identification of records needed to sustain operations for 30 days or longer in case vital records at alternate facilities are not accessible. Determine whether files can be accessed electronically from a remote location (e.g., an employee's home) or if a "Go Pack" of hard copy documents needs to be developed.
- A plan for the maintenance of vital systems that rely on periodic physical intervention/servicing.
- The assignment of responsibility of the vital records program, including identifying alternates with sufficient training to assume the role.
- The identification and acquisition of the appropriate medium for accessing vital records, ensuring that the primary and alternates are sufficiently trained to include required clearances, passwords and/or access codes.

## **Human Capital**

Each organization must design, update and carry out comprehensive plans that take into account and respond to the threats that its employees are most likely to face as a result of a pandemic. Local management officials, with the support and coordination of its human resources staff, should ensure that union notification and bargaining obligations have been met prior to implementation of the plan. Information on bargaining obligations for pandemic planning can be found in Annex I of this guide. Organizational human capital plans should address

organizational compensation policies (See Annex F), policies that encourage sick employees to stay home by leveraging Federal sick leave programs (See Annex G for additional details), and plans for use of telework and safe haven to allow able employees to work from their homes to support the social distancing needed to mitigate the spread of a pandemic (Annex E). Organizations should also review the terms and conditions of its service contracts/statements of work to ensure contracts have in place a provision for providing required contract capabilities in case of a pandemic. Contracts should also provide the flexibility of working at an alternate work site, should that become necessary.

Other provisions that should be addressed in the human capital plan include:

- Evaluating the need for hygiene supplies, medicines, and other medical necessities to promote the health and wellness of healthy essential personnel and plan for distributing such supplies. The official DoD website, the “PI Watchboard” for Pandemic Influenza [www.dod.mil/pandemicflu](http://www.dod.mil/pandemicflu) will provide information regarding medical issues including those for health practitioners.
- Procedures for medically screening and clearing essential personnel. (Annex I)
- Developing and maintaining an employee accountability system. (Annex A)
- Obtaining information from official sources such as the DoD PI Watchboard, [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters) and Public Affairs and planning distribution of the guidance, awareness plans and materials for employees, including:
  - o Occupational risk reduction strategies
  - o Infection control
  - o Personal hygiene
  - o Social distancing techniques
  - o Travel restrictions
- The provision of relevant information and advisories about the pandemic to employees, via
  - o Hotlines
  - o Web sites
  - o Voice Messaging System Alerts
  - o All Hands Messages
- Provision of employee cross-training to further support three-deep for mission essential functions
- For further information on Human Capital Planning for Pandemic Influenza, see the Office of Personnel Management (OPM) guide, same subject. The guide can be found at [www.opm.gov/pandemic](http://www.opm.gov/pandemic). The DoD Implementation Plan should be available through command channels.

## **Test, Training and Exercises**

Testing, training, and exercising COOP plans are essential to the constant improvement of an organization's COOP capability. In addition to normal COOP exercises, pandemic influenza COOP Plans must also test, train, and exercise "social distancing" techniques, including telecommuting, to help minimize contact with others and reduce the spread of infection. Additional requirements include:

- Testing of established triggers, and communication of those triggers, for activating and terminating the organization's PI COOP and emergency response plan;
- Annual awareness briefings on pandemic influenza;
- Testing of PI COOP plans through tabletop, functional and full-scale exercises that include social distancing techniques such as telework;
- Assessment of the impact of a skeleton staff on essential functions and services, and identification of those services that would be stopped should a pandemic occur.
- Annex L, Assessing Plans, provides a sample assessment plan.

## **Devolution of Control and Direction**

A COOP devolution option must be developed. Devolution considers the execution of mission essential functions when the organizations' leadership and staff, in whole or in part, are incapable or unavailable to execute those functions from either their primary or alternate operating facilities. Because an influenza pandemic may hit earlier, longer, or harder in various parts of the country, devolution planning must be accomplished and should consider the assignment and/or rotation of operations among regional offices as the pandemic wave moves throughout the United States. Additional considerations include:

- Taking into account how an organization will conduct essential functions if pandemic influenza renders leadership and essential staff incapable or unavailable to execute those functions. Full or partial devolution of essential functions may be necessary to ensure continuation.
- Developing detailed guidance for devolution, including
  - o Identification of essential functions, and personnel who could perform those functions (Three deep)
  - o Geographic Rotation of operations, as applicable
  - o Identification of supporting tasks, and personnel who can perform those tasks (Three deep)
  - o Points of contacts for MEFs
  - o Resources and phone numbers of organizations or people required to perform MEFs.

- Ensuring that the devolution site has the capability to provide for the health, safety and security of the personnel. This includes the provision of vaccines and anti-virals.
- Ensuring that the devolution site has the hardware, software, communication connectivity and vital records necessary to conduct business.

## Reconstitution

Reconstitution embodies the ability of an organization to recover from a catastrophic event and consolidate the necessary resources that allow it to return to a fully functional entity of the Federal government. The objective during this recovery and reconstitution phase during a pandemic is to expedite the return of normal services to the nation. Additional considerations include:

- A method to verify that the pandemic influenza threat has passed and that it is safe to return to the point of embarkation.
- Plans for the replacement of employees unable to return to work, with a prioritized hiring effort.
- In conjunction with public health authorities, development of plans and procedures to ensure the facilities/buildings are safe for employees to return to normal operations, or selection of an alternate work site.
- Recognition that facilities may require decontamination before they can be reoccupied with a return to normal operations.
- The need to provide counseling and other mental health and social services resources to the workforce.

## Additional Actions

Additional actions must be considered in developing a COOP plan in the event of a pandemic influenza.

- **Appointment of a COOP Influenza Manager.** Appointing a COOP Influenza Manager and alternate is critical to provide a point of contact for all issues related to pandemic influenza, including plans, procedures, intelligence, and other information pertinent to providing for the health, safety and security of personnel and facilities. The Command emergency POC or COOP POC may serve in this role.
- **Identification of “Social Distancing/Shelter-in-Place Techniques.** The Office of Personnel Management provides pandemic influenza alternate work site guidance through *Telework: A Management Priority, A Guide for Managers, Supervisors, and Telework Coordinators; Telework 101 for*

*Managers: Making Telework Work for You; and Telework 101 for Employees: Making Telework Work for You.* Shelter-in-Place guidance and plans are available through the American Red Cross. DoD alternate workplace guidance is available in Annex E of this guide.

- **Development of a Pandemic Internal Communications Plan.** The development of a Pandemic Internal Communications Plan is critical to prepare personnel for a pandemic. The Office of the Secretary of Defense Public Affairs Office has developed, and will continue to develop, Pandemic Influenza communications materials. Commands should leverage this information as an integral part of the Command PI communication plan. Communication plans should address methodologies for keeping employees informed of the status of current outbreaks, symptomology, available vaccines and anti-virals, activation of COOP and emergency response plans, and procedures for reporting status.
- **Ensure Adequate Availability of Essential Supplies, Services, and Contracts.** Plans must anticipate and plan for the requirement for additional resources in the event of a pandemic, including:
  - o Providing sufficient and available infection control supplies (e.g., hand sanitizers, environmental cleaning supplies and educational materials).
  - o Enhancing communications and infrastructure as needed to support personnel telecommuting and remote customer access.
  - o Ensuring availability of medical consultation and advice for medical response.
  - o Cleaning of facilities and equipment, which may require new or modifying current housekeeping contracts.
- **Management of Staff Who Become Ill in the Workplace. Plans should include:**
  - o Infection control procedures to prevent further spread of the virus.
  - o Strategies to protect the remaining staff.
  - o Procedures for decontamination/cleaning of areas the staff member may have infected.
  - o Identification of other staff members that have, or may have, been in contact with the staff member(s) who became ill.
  - o Contact procedures for requesting internal or external medical support.

## CONCLUSION

Continuity of operations in the event of a pandemic influenza requires additional considerations beyond the traditional COOP concept. COOP planning facilitates the performance of department and agency essential functions during any emergency or event that may disrupt normal operations, including moving COOP personnel to an alternate site, if the primary location is no longer available. Unlike

other emergencies, a pandemic influenza will not directly affect the infrastructure of an organization. Its impact is on the organization's human resources resulting in a possible 40 percent staff absence. The loss of personnel has a direct impact on the ability of an organization to perform its essential functions if preventive and mitigating actions are not taken in a timely manner. Therefore, COOP in a pandemic influenza must focus on preventive countermeasures, such as staff education, vaccine and pre-positioning of mission essential functions prior to local threat. COOPs should also include provisions for the special needs of employees with disabilities in planning and execution of all requirements and procedures. After exposure, COOP will be reliant on backfilling for those who cannot perform mission-essential functions and providing supportive care to those who have fallen ill. Protecting staff from contracting the virus must be the focus of planning to ensure the continuation of essential functions and the continuity of government operations.

## **ANNEX D, SAFEGUARDING THE WORKFORCE**

Everyone plays a role in prevention. Individuals are the first line of defense in prevention and risk mitigation. By staying informed and prepared, individual service members, their families, and the department's civilian and contractor workforce can limit the effects of a pandemic.

All employees should be aware of the methods their organizations or commands utilize to communicate information in the event of an emergency or during a pandemic influenza. Additionally, everyone should know where to obtain information regarding community, local and state guidance for procedures and practices during an emergency. Command emergency preparedness offices should be able to provide this information to the workforce.

### **Protecting Employees in the Workplace**

Safeguarding the civilian workforce in the event of a PI outbreak is of paramount concern and planning. Health experts estimate that 40 percent of flu cases could be prevented simply by practicing good hygiene. Commands should disseminate information on optimal hygiene practices, and encourage employees to embrace those practices, both during a normal flu season and in the event of a pandemic.

The Occupational Safety and Health Administration (OSHA) has identified categories for employee risks of occupational exposure to influenza during a pandemic. Employee exposure in the workplace may vary from very high to high, medium, or lower risk. The level of risk depends in part on whether or not jobs require close proximity to people potentially infected with the pandemic influenza virus, or whether they are required to have either repeated or extended contact with known or suspected sources of pandemic influenza virus such as coworkers, the general public, outpatients, school children or other such individuals or groups.

*Very high exposure risk* occupations are those with high potential exposure to high concentrations of known or suspected sources of pandemic influenza during specific medical or laboratory procedures.

*High exposure risk* occupations are those with high potential exposure to known or suspected sources of pandemic influenza virus.

*Medium exposure risk* occupations include jobs that require frequent, close contact (within 6 feet) exposures to known or suspected sources of pandemic influenza virus such as coworkers, the general public, outpatients, school children or other such individual groups.

*Lower exposure risk (caution)* occupations are those that do not require contact with people known to be infected with the pandemic virus, nor frequent close contact (within 6 feet) with the public. Even at lower risk levels, however, employers should be cautious and develop preparedness plans to minimize employee infections.

Employers of critical infrastructure and key resource employees (such as law enforcement, emergency response, or public utility employees) may consider upgrading protective measures for these employees beyond what would be suggested by their exposure risk due to the necessity of such services for the functioning of society as well as the potential difficulties in replacing them during a pandemic (for example, due to extensive training or licensing requirements).

OSHA has provided examples of actions that can be taken to reduce exposure to pandemic:

- Providing resources and a work environment that promotes personal hygiene. For example, provide tissues, no touch trash cans, hand soap, hand sanitizer, disinfectants and disposable towels for employees to clean their work surfaces.
- Encouraging employees to obtain a seasonal influenza vaccine (this helps to prevent illness from seasonal influenza strains that may continue to circulate).
- Providing employees with up-to-date education and training on influenza risk factors, protective behaviors, and instruction on proper behaviors (for example, cough etiquette and care of personal protective equipment).
- Developing policies to minimize contacts between employees and between employees and clients or customers.
- Developing policies that encourage ill employees to stay at home without fear of any reprisals.
- Discontinuation of unessential travel to locations with high illness transmission rates.
- Consider practices to minimize face-to-face contact between employees such as e-mail, websites and teleconferences. Where possible, encourage flexible work arrangements such as telecommuting or flexible work hours to reduce the number of employees who must be at work at one time or in one specific location. When employees must be co-located maintaining a separation of at least 6 feet will greatly reduce the spread of germs.
- Keep work surfaces, telephones, computer equipment and other frequently touched surfaces and office equipment clean.
- Developing emergency communications plans. Maintain a forum for answering employees' concerns. Develop internet-based communications if feasible.



## **OCONUS Concerns**

Employees living or traveling to OCONUS locations should be aware that other geographic areas have different influenza seasons and will likely be affected by a pandemic at different times than in CONUS. The U.S. Department of State emphasizes that, in the event of a pandemic, its ability to assist Americans traveling and residing abroad may be severely limited by restrictions on local and international movement imposed for public health reasons, either by foreign governments and/or the United States. Employees and managers in OCONUS locations should consider preparedness measures that take into consideration the fact that travel into or out of a country may not be possible, safe, or medically advisable during a pandemic. Guidance on preparing to shelter in place is available at the [www.pandemicflu.gov](http://www.pandemicflu.gov) website. The DoD website [www.dod.mil/pandemicflu](http://www.dod.mil/pandemicflu) will provide up to date instructions and guidance for DoD employees in the event of a pandemic health crisis.

## **Reducing the Spread of Influenza Virus**

Federal agency experts as well as private sector health clinicians have noted that the most effective means of preventing the spread of viruses including influenza on a pandemic scale is emphasizing proper hygiene – disinfecting hands and surfaces and practicing social distancing. Social distancing means reducing the frequency, proximity, and duration of contact between people (both employees and customers) to reduce the chances of spreading influenza from person-to-person. There are several sources for information that can be used to educate managers and the workforce. The DoD Office of Health Affairs has established a website that is the official DoD site for PI information, [www.dod.mil/pandemicflu](http://www.dod.mil/pandemicflu) that provides information on avian and pandemic flu. The Civilian Personnel Management disaster preparedness site, [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters), has valuable information, preparedness checklists, and relevant links that address civilian human resources and personal preparedness issues. Downloadable pamphlets, guides and posters are also available on this site to enhance education about pandemic influenza.

The Center for Disease Control (CDC) has an excellent website, [www.cdc.gov/flu/protect/stopgerms.htm#StopGerms](http://www.cdc.gov/flu/protect/stopgerms.htm#StopGerms) that contains fact sheets and posters that may be downloaded and placed strategically around the workplace, or used in articles in local and installation newsletters or e-mails. The CDC provides the following facts on “Stopping the Spread of Germs”:

## **Stopping the Spread of Germs**

### **How Germs Spread**

Illnesses like the flu (influenza) and colds are caused by viruses that infect the nose, throat, and lungs. The flu and colds usually spread from person to person when an infected person coughs or sneezes.

### **How to Help Stop the Spread of Germs**

Take care to:

- Cover your mouth and nose when you sneeze or cough
- Clean your hands often
- Avoid touching your eyes, nose or mouth
- Stay home when you are sick and check with a health care provider when needed
- Practice other good health habits.

### **Cover your mouth and nose when you sneeze or cough**

Cough or sneeze into a tissue and then throw it away. Cover your cough or sneeze if you do not have a tissue. Then, clean your hands, and do so every time you cough or sneeze.

### **Clean your hands often**

When available, wash your hands—with soap and warm water—then rub your hands vigorously together and scrub all surfaces. Wash for 15 to 20 seconds. It is the soap combined with the scrubbing action that helps dislodge and remove germs.

When soap and water are not available, alcohol-based disposable hand wipes or gel sanitizers may be used. You can find them in most supermarkets and drugstores. If using a gel, rub the gel in your hands until they are dry. The gel doesn't need water to work; the alcohol in the gel kills germs that cause colds and the flu. (Source: FDA/CFSAN Food Safety A to Z Reference Guide, September 2001: Handwashing.)

### **Avoid touching your eyes, nose, or mouth**

Germs are often spread when a person touches something that is contaminated with germs and then touches their eyes, nose, or mouth. Germs can live for a long time (some can live for 2 hours or more) on surfaces like doorknobs, desks, and tables.

## **Stay home when you are sick and check with a health care provider when needed**

When you are sick or have flu symptoms, stay home, get plenty of rest, and check with a health care provider as needed. Your employer may need a doctor's note for an excused absence. Remember: Keeping your distance from others may protect them from getting sick. Common symptoms of the flu include:

- fever (usually high)
- headache
- extreme tiredness
- cough
- sore throat
- runny or stuffy nose
- muscle aches, and
- nausea, vomiting, and diarrhea, (much more common among children than adults).

## **Practice other good health habits**

Get plenty of sleep, be physically active, manage your stress, drink plenty of fluids, and eat nutritious food. Practicing healthy habits will help you stay healthy during flu season and all year long.

An excellent tool to share with employees is a U.S. Department of Health and Human Services publication, Family and Individual Guide, which is designed to advance understanding of the threat of a pandemic influenza to individuals and communities. This guide has been posted on the CPMS Disaster website, [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters).

## **ANNEX E, ALTERNATIVE WORKSITES**

### **E. 1. TELEWORK DURING PANDEMIC HEALTH CRISES**

#### **General Information**

Telework is a work arrangement in which an employee performs officially assigned duties at home or at an alternative workplace geographically convenient to the employee's residence. As a consequence of significant advances in technology over the past decade, alternative workplace arrangements (e.g., telework) have emerged as viable options for many Department of Defense positions. Telework is of particular interest not only as a recruitment and retention flexibility but also as a workplace arrangement that reduces infrastructure impact, especially in urban areas, and saves taxpayer dollars by decreasing Government real estate costs. In addition, telework ensures continuity of mission critical functions in the event of national or local emergencies.

Recent events, including natural disasters and terrorist activities, have heightened awareness of telework's importance to an agency's ability to continue its mission-critical functions across a broad spectrum of emergencies. In the case of a pandemic, telework will slow the spread of disease by keeping face-to-face contact to a minimum (social distancing) while maintaining operations as normally as possible.

The key to successful use of telework during an emergency is an effective routine telework program. Therefore, management must be committed to implementing alternative workplace arrangements as broadly as possible to take full advantage of telework's potential. Telework should be part of all Department of Defense (DoD) continuity of operations plans (COOP) and managers should integrate COOP work expectations into telework agreements as appropriate. Personnel who might telework during an emergency should have telework capability (i.e., current telework arrangements, connectivity, and equipment commensurate with their work needs) and sufficient opportunity to telework on a regular basis.

Implementation of telework prior to an actual crisis will ensure equipment, technology, and technical support are in place, employees are comfortable with communication methods, and managers can manage a distributed workgroup. Managers and employees also should be familiar with teleconferencing, videoconferencing, paperless systems, and other technologies that enable multi-channel communications. Telework exercises are strongly encouraged and recommended to ensure preparedness to work from alternative worksites during an

actual emergency. Telework exercises assist management and employees with identification and resolution of potential problems such as internet connectivity or communications before a situation requiring utilization of telework to continue operations and mission essential functions.

## **Telework Program Management Responsibilities**

Management commitment is the single-most important indicator of a successful telework program. Managerial skill, participation, and support enhance the effectiveness of telework as a critical facet of mission accomplishment, particularly when it is integrated into emergency preparedness plans.

### **Program Coordinators**

While DoD telework program guidance, available at [www.cpms.osd.mil](http://www.cpms.osd.mil), provides Department-wide telework parameters, most DoD Components have supplemental procedures. DoD Components have designated coordinators who develop and keep current Component specific telework guidelines and act as the key contact for Component telework program questions. For a copy of the current DoD Component coordinators, send an e-mail to [dodtelework@cpms.osd.mil](mailto:dodtelework@cpms.osd.mil). Managers should maintain frequent contact with the telework coordinator to ensure familiarity with Component telework program guidance as well as any other available resources and support.

### **Employee Eligibility**

Although Federal law requires agencies to have a telework program, telework is a discretionary workplace flexibility that can assist managers in establishing effective continuity of operations plans. Telework is not an employee right, however, even if the employee is considered “eligible” by DoD standards.

Generally, all employees are eligible to telework with the following exceptions:

- Employees in positions that require, on a daily basis, direct handling of secure materials;
- Employees in positions that require, on a daily basis, an on-site activity that cannot be handled remotely or at an alternative workplace (e.g., hands-on contact with machinery, equipment, vehicles);

- Employees in positions that require, on a daily basis, face-to-face personal contacts (e.g., direct patient care, counseling, teaching);
- Employee whose last performance rating of record is below fully successful (or its equivalent) or whose conduct has resulted in disciplinary action within the past 12 months; and
- Employees recently reassigned or newly appointed to trainee or entry-level positions. The length of time for which the employee is deemed ineligible is at the discretion of each DoD Component and should be addressed in the Component's supplemental telework guidance.

When agency continuity of operations plans designate employees as essential who are otherwise ineligible, the above exceptions do not apply. Therefore, an employee who might not otherwise be eligible for telework may become eligible if designated as an essential employee in a COOP plan.

## **Work Group Management**

Telework should be implemented strategically, taking the structure of the work group into consideration and providing employees an opportunity to participate in discussions about the needs of the work group when its members are negotiating agreements to perform official work outside the traditional workplace. Although DoD only requires telework agreements for core (at least one day a week) teleworkers, managers should consider establishing a written agreement with each employee, whether or not he/she teleworks regularly. Written agreements are particularly critical for employees who perform work that would be considered mission-essential during a crisis such as a pandemic. Since telework is key to performing work when social distancing is a factor (as it is during pandemics), managers should ensure those employees considered essential have a telework agreement in place. A sample telework agreement is at the end of this annex (Annex E.1.)

Telework agreements are living documents and should be re-authenticated periodically, preferably on an annual basis. Most particularly, employees able to perform official duties from an alternative workplace during a pandemic health crisis or other COOP event should have a telework agreement that provides for such occurrences.

Along with the logistics of alternative workplace arrangements, management expectations of a teleworker's performance should be clearly addressed in telework agreements. It is important to re-emphasize that performance standards for off-site employees are the same as if those employees remained at the

traditional worksite. As with on-site employees, teleworkers will be held accountable for the results they produce—the cornerstone of any valid performance management system in today’s pay-for-performance world of work. Additional resources for performance management are available on the Office of Personnel Management (OPM) website at [www.opm.gov/perform](http://www.opm.gov/perform).

To summarize, all employees in the work group must understand expectations regarding alternative workplace arrangements, and all employees who telework must take responsibility for their own availability to, and information-sharing with, co-workers at the traditional work site. At the same time, managers must ensure methods to maintain open communications across the work group as a whole. To that end, telework agreements should address clearly manager and teleworking employee expectations, to include those that are listed below:

- Work schedule and time and attendance procedures, to include electronic and telephonic procedures for reporting to and leaving the alternative workplace;
- Procedures for measuring work;
- Alternative workplace office requirements (e.g., safety checklist), equipment needs, technology, and technical support arrangements;
- Methods of communications with managers, co-workers, and customers;
- Performance expectations; and
- Procedures for terminating an agreement.

More detailed information about the DoD telework policy and additional guidance is available at [www.cpms.osd.mil](http://www.cpms.osd.mil).

### **Equitable Work Assignments**

Managers must take care not to distribute work based on “availability” as measured by physical presence, and thereby avoid the pitfall of assuming someone who is present and looks busy is actually accomplishing more work than someone who is not on-site. Good performance management practices based on expectations for measurable results are essential for effective telework.

### **Equipment Requirements**

DoD Components may furnish and install Government-owned computer equipment and property, related communications technology, with appropriate security protections, and software for teleworkers in all situations. Managers must refer to their Component telework guidance or ask their Component coordinator

about the procedures that apply for their area of responsibility. These policies, as they relate to a pandemic, should be established well in advance of a pandemic's occurrence.

## **Security**

Employees and their managers are responsible for the security of government property and information, regardless of work location. DoD security policies do not change and should be enforced at the same level whether employees telework or remain at the traditional work site. Managers should ensure all telework agreements comply with DoD information security policies, provide systems security employee training, invest in technology and equipment that can support access, and develop secure systems for potentially sensitive documents and other materials. Employee briefings on telework security provisions should be conducted periodically to ensure employee preparedness in cases of emergent crisis situations.

## **Reporting Requirements**

Managers will retain copies of employee telework agreements and ensure their timekeepers follow Defense Civilian Pay System (DCPS) Time and Attendance Users Manual guidance to code and capture data on the number of days each employee teleworks in a given pay period. During a pandemic, the Office of Personnel Management will be collecting information on the number of employees who are teleworking. Commands are encouraged to use DCPS to capture teleworking data so OPM reports can be automatically captured. Further questions about Component reporting requirements should be referred to Component coordinators.

## **Emergency Response Telework**

The success of an organization's telework program depends, in large part, on the comfort level managers and employees acquire from personal experience with alternative work arrangements. Telework as an alternative workplace arrangement, however, is not an employee right, nor can managers direct employees to telework in most circumstances. It is critical to the Department's emergency preparedness efforts to encourage its managers and employees to



establish telework agreements with emergency response clauses to the fullest possible extent.

As preparation for ensuring the COOP capabilities of telework, DoD managers have a number of COOP responsibilities to include:

- Understanding of management roles in COOP execution;
- Notification of employees designated as essential personnel for COOP;
- Communication of expectations to all employees regarding steps to take in emergencies;
- Integration of COOP expectations in telework agreements as appropriate; and
- Promotion of telework on a regular basis for employees designated as essential.

Experience enables managers, employees, technology support staff, and other stakeholders to work through equipment, communications, access, security, workflow, and related issues. Therefore, the agency is best served when individuals who may be expected to telework in COOP events, including during a pandemic health crisis, telework under normal circumstances as well.

#### **References:**

Department of Defense Directive 1035.1 Telework Policy for Department of Defense <http://www.dtic.mil/whs/directives/corres/html/103501.htm>

Department of Defense Telework Policy Implementation Guidance <http://www.cpms.osd.mil/>

Federal Employee's Emergency Guide <http://www.opm.gov/emergency/PDF/EmployeesGuide.pdf>

Federal Information Security Management Act (FISMA) <http://csrc.nist.gov/policies/FISMA-final.pdf>

Federal Manager's/Decision Maker's Emergency Guide <http://www.opm.gov/emergency/PDF/ManagersGuide.pdf>

Federal Preparedness Circular (FPC) 65 [http://www.fema.gov/txt/government/coop/pc65\\_0604.txt](http://www.fema.gov/txt/government/coop/pc65_0604.txt)

Federal Management Regulation (FMR) Bulletin 2006-B3  
Guidelines for Alternative Workplace Arrangements  
<http://www.gsa.gov/Portal/gsa/ep/home.do?tabId=0>  
Select FMR under Regulations and then FMR Bulletins

National Strategy for Pandemic Influenza Implementation Plan  
<http://www.whitehouse.gov/homeland/pandemic-influenza.html>

NIST Special Publication 800-46  
Security for Telecommuting and Broadband Communications  
<http://csrc.nist.gov/publications/nistpubs/800-46/sp800-46.pdf>

DRAFT

# SAMPLE

## DEPARTMENT OF DEFENSE TELEWORK AGREEMENT

This document constitutes the terms of the telework agreement for:	
Employee:	Job Title:
Pay Plan/Series:	Organization:
Traditional Official Worksite:	Alternative Worksite Address:
Alternative Worksite Facsimile:	Alternative Worksite E-mail Address:
Telework Arrangement Implementation Dates: (Agreement should be revalidated at least once every twelve months)  Start: _____ End: _____	Tour of Duty (Attach copy of bi-weekly work schedule) Fixed: <input type="checkbox"/> Flexible: <input type="checkbox"/> Compressed: <input type="checkbox"/>
Telework Arrangement:   *Core: <input type="checkbox"/> **Situational: <input type="checkbox"/>	
COOP "Emergency Response" Status: Employee <b>(IS) (IS NOT)</b> expected to telework for the duration of the emergency during a pandemic and/or when the traditional worksite is closed due to emergency situations (e.g., snow emergencies floods, hurricanes). If a designated employee is unable to work due to illness or dependent care responsibilities, the employee will be charged annual or sick leave as appropriate. Managers will include a description of emergency duties with this agreement if emergency duties are different from the employee's normal duties.	
Authorized Management Official:	Date:
Employee:	Date:

\*Core Telework. Employees who telework at least one day a week at the alternative worksite must complete a telework agreement. A copy of the employee's approved bi-weekly schedule will be attached to this document.

\*\*Situational Telework. Employees who telework less frequently than one day each week should have a telework agreement to clarify work expectations; however, an agreement is not mandatory. Employees who telework to complete short-term special assignments or accommodate special circumstances are also considered as situational teleworkers even though they may telework continuously for a specified period.

## SAMPLE

### TERMS OF TELEWORK AGREEMENT

The terms of this agreement must be read in conjunction with Department of Defense (DoD) telework program guidance, available on the Civilian Personnel Management Service web site at [www.cpms.osd.mil](http://www.cpms.osd.mil) and any additional guidance provided by the employing organization. Signatories certify they will abide by this agreement, DoD telework policy, and all supplemental terms established by the employing organization.

1. Work schedules and hours of duty may be modified as necessary, but are subject to local management procedures and/or collective bargaining agreement requirements. A copy of the employee's daily schedule should be kept on file with the signed telework agreement. If the employee is designated to telework in case of an emergency, the work hours may be subject to change. Emergency schedules will be set based on mission needs.
2. If the employee reports to the traditional worksite at least once a week, the traditional worksite is the official worksite as defined in 5 CFR 531.605(d). If the employee does not report to the traditional worksite at least once a week, except during emergencies (including a pandemic), the official worksite is the location of the employee's telework site. Exceptions to the one day each week requirement may be made for short-term situations (e.g., special projects, medical accommodation).
3. All pay (to include locality pay or local market supplement), leave, and travel entitlements are based on the employee's official worksite as documented on a Notice of Personnel Action.
4. Prior to signing this telework agreement, the supervisor and employee will discuss:
  - a. Office procedures (e.g., procedures for reporting to duty, procedures for measuring and reviewing work, time and attendance procedures, procedures for maintaining office communications);
  - b. Safety and technology/equipment requirements (Appendices A and B); and
  - c. Performance expectations.
5. Employee will not work in excess of the prescheduled tour of duty (e.g., overtime, holiday work, or Sunday work) unless he/she receives permission from the supervisor. By signing this form, the employee acknowledges that failure to obtain proper approval for overtime work may result in cancellation of the telework agreement.
6. Supervisors have the authority to call any employee back to the traditional worksite for mission needs at any time. Call back (outside normal work hours) shall be handled in accordance with established policy and/or collective bargaining agreements, if applicable.
7. If the employee uses government owned equipment, employee will use and protect the equipment in accordance with the DoD Component's procedures. Government-owned equipment will be serviced and maintained by the government. If an employee provides equipment, he/she is responsible for purchasing the installing any software and for required service and maintenance.
8. The employee agrees to comply with the terms of computer software license and copyright agreements, as well as DoD OASD (NII) computer virus and protection requirements and procedures.
9. No classified documents (hard copy or electronic) may be taken to, or created at, an employee's alternative worksite. For Official Use Only and sensitive non-classified data may be taken to alternative worksites if necessary precautions are taken to protect the data, consistent with DoD regulations.
10. The supervisor will determine how frequently, if at all, backup copies of data onto network drives or removable disks must be made to protect against loss of data. The supervisor may also require the employee to periodically send backup copies to the main work facility.

11. The employee may be reimbursed for authorized expenses incurred while conducting business for the government, as provided by statute and implementing regulations. (Approved authorizations are filed with this agreement).
12. The employee will apply approved safeguards to protect government records from unauthorized disclosure or damage and will comply with Privacy Act requirements set forth in the Privacy Act of 1974, and codified at 5 USC 552a.
13. The DoD Component retains the right to inspect the home worksite, by appointment only, to ensure safety standards are met and Government-owned equipment is properly maintained.
14. The DoD Component will not be responsible for operation, maintenance, or any other costs (e.g., utilities) associated with the use of the employee's residence.
15. The DoD Component will not be liable for damages to an employee's personal or real property during the course of performance of official duties or while using Component equipment in the employee's residence, except to the extent the Component is held liable by the Federal Tort Claims Act or from claims arising under the Military Personnel and Civilian Employees Claims Act.
16. Employee paid from appropriated funds are covered under the Federal Employee's Compensation Act if injured in the course of performing official duties while at the official alternate worksite. Employees paid from nonappropriated funds are covered under the Longshorement's and Harbor Workers' Compensation Act (LHWCA). Any accident or injury occurring at the alternative workplace must be brought to the immediate attention of the supervisors who will investigate all reports as soon as practical following notification.
17. The employee acknowledges that telework is not a substitute for dependent care.
18. The employee acknowledges telework is a discretionary alternative workplace arrangement.
19. Either the employee or the supervisor can cancel the telework agreement by giving advance written notice. Management will terminate the telework agreement should the employee's performance not meet the prescribed standard or the teleworking arrangement fail to meet organizational needs.
20. The employee continues to be covered by DoD Component standards of conduct while working at the alternative worksite.
21. Add DoD Component-specific conditions below.

## PRIVACY ACT STATEMENT

<b>Authority:</b>	Public Law 106-346, Sec. 359, Transportation Appropriations Act 2001
<b>Principle Purpose(s):</b>	Information is collected to register individuals as participants in the DoD alternative workplace program; to manage and document the duties of participants; and to fund, evaluate and report on program activity. The records may be used by Information Technology offices for determining equipment and needs; for ensuring appropriate system safeguards are in place, and for managing technological risks and vulnerabilities.
<b>Disclosure:</b>	Disclosure is voluntary. However, failure to provide the requested information may result in your inability to be a participant in the telework program.

SAMPLE

**APPENDIX A**  
**SAFETY CHECKLIST**

**DoD TELWORK PROGRAM**

Safety Feature	Yes (X)	No (X)
Temperature, ventilation, lighting, and noise levels meet are adequate for maintaining a home office.		
Electrical equipment is free of recognized hazards that would cause physical harm (frayed, exposed, or loose wires; loose fixtures, bare conductors, etc.)		
Electrical system allows for grounding of electrical equipment (three-prong receptacles).		
Office (including doorways) is free of obstructions to permit visibility and movement.		
File cabinets and storage closets are arranged so drawers and doors do not enter into walkways.		
Phone lines, electrical cords, and surge protectors are secured under a desk or alongside a baseboard.		
If material containing asbestos is present, it is in good condition.		
Office space is free of an excessive amount of combustibles, floors are in good repair and carpets and well secured.		
Employee's Signature	Date	

SAMPLE  
APPENDIX B

<b>TECHNOLOGY/EQUIPMENT CHECKLIST</b>			
<b>DoD TELEWORK PROGRAM</b>			
<b>Technology/Equipment</b>	<b>Requirement</b>	<b>Ownership</b>	<b>Reimbursement By Component</b>
	<b>Yes or No</b>	<b>Agency or Personal</b>	<b>Yes or No</b>
<i>COMPUTER EQUIPMENT</i>			
Laptop			
Desktop			
PDA			
<i>ACCESS</i>			
IPASS/VPN Account			
CITRIX-Web Access			
Other			
<i>CONNECTIVITY</i>			
Dial-In			
Broadband			
<i>REQUIRED ACCESS CAPABILITIES</i>			
Shared Drives (e.g, H or P Drive)			
E-Mail			
Component Intranet			
Other Applications:			
<i>OTHER EQUIPMENT/SUPPLIES</i>			
Copier			
Scanner			
Printer			
Fax Machine			
Thumb Drive			
Cell Phone			
Paper Supplies			
Other:			

SAMPLE  
APPENDIX C

**NOTICE OF TELEWORK CANCELLATION**

**DoD TELEWORK PROGRAM**

When telework agreement is cancelled, fill in the information below.

Cancellation Date:

☐

Employee-Initiated

☐

Management-Initiated

Reason(s) for Cancellation

DRAFT

Supervisor's Signature

Date

Employee's Signature

Date



## **E. 2. Evacuations and Safe Havens During a Pandemic Health Crisis**

### **A. General Information**

1. Sections 5522 through 5524 of chapter 55 of title 5, United States Code (U.S.C.); part 550, subpart D, of title 5, Code of Federal Regulations (CFR); and chapter 600 of the Department of State Standardized Regulations (DSSR) establish the conditions for, and authorize the payment of, evacuation payments to Federal employees whose departure is officially authorized or ordered from any place where there is imminent danger to the lives of the evacuated employees. Within the Department of Defense, chapter 12 and Appendix I of the Department of Defense (DoD) Joint Travel Regulations, Volume 2, provide further guidance on authorized evacuations.
2. Upon official notification by Federal, State, or local officials, public health authorities and/or tribal governments, of a natural disaster or for military or other reasons that create imminent danger to lives, including a pandemic health crisis affecting certain geographic areas, the decision to evacuate employees and/or dependents from the continental United States or a non-foreign location rests with the Secretary of Defense or the USD(P&R) as the Secretary's designated representative. The following officials also are authorized to order an evacuation within their areas of responsibility:
  - i. The Secretaries of the Military Departments or their designated representatives for the civilian employees and dependents of their respective Services;
  - ii. The head of a DoD Component or his/her designated representative;
  - iii. The commander of a U.S. installation or his/her designated representative; and
  - iv. The commander, director, head, chief, or supervisor of an organization or office.

When exercising this authority, officials should attempt, to the maximum extent possible, to coordinate their actions with the appropriate management officials of similarly affected Federal agencies and DoD Components within the impacted geographic area.

3. The decision to evacuate employees and/or dependents from a foreign area rests with the Department of State (DoS).
  - i. In appropriate circumstances, such as a Presidential declaration of national emergency or directed reinforcement of United States (U.S.) Armed Forces in a theatre, or to accommodate force protection or anti-terrorism considerations, the Secretary of Defense, after consultation with the Secretary of State, may authorize the evacuation of all DoD noncombatants. The authority of the Secretary of Defense, however, does not apply to DoD noncombatants attached to Defense Attache' Offices, Marine Security Guard Detachments, DoD elements or personnel that form an integral part of the U.S. Country Teams, and others as determined between the Combatant Commander and the Chief of Mission.
  - ii. When U.S. citizens are endangered but timely communication with DOS is not possible, or there is no DOS presence in the area concerned, and time and communications do not permit the Commander to receive authorization from the Secretary of Defense, through the Under Secretary of Defense (Personnel and Readiness) (USD(P&R)), without jeopardizing the U.S. citizens, Combatant Commander, the senior commander in the country concerned, or the Defense Attache' is responsible for authorizing or ordering an evacuation of the area.

B. Evacuations Within the United States During Pandemic Health Crises

1. Management officials (hereafter called "authorized management officials") who order an evacuation within the United States must announce a safe haven in the evacuation order (oral or written). Safe haven is defined as the area to which an employee or dependent is evacuated.
2. The authorized management official, in the case of a pandemic, may declare an employee's home (or an alternative mutually agreeable location), including a location under quarantine or confinement, as a safe haven. The announcement of a home or an alternate location as the safe haven during the evacuation period promotes "social distancing" and protects the employee from exposure to additional viruses or mutations of a pandemic virus.

3. The authorized management official, after announcing the safe haven, may provide evacuation payments to evacuated employees. See Section C of this plan.
4. An employee at a safe haven, in receipt of evacuation payments, may be assigned to perform any work considered necessary or required to be performed during the period of evacuation without regard to the employee's grade or title. A supervisor may not assign work to an employee unless he or she knows the employee has the necessary knowledge and skills to perform the assigned work. The agency must comply with statutory requirements regarding reasonable accommodation for a qualified employee with a disability.
5. A manager or supervisor should communicate regularly with an employee who is performing work from an alternative location (including the employee's home). Regular communication with employees ensures they understand their work assignments and management's expectations during the evacuation period.
6. Failure or refusal to perform assigned work may be a basis either for terminating evacuation payments or for taking a disciplinary action under 5 CFR, part 572, or both. When the employee's inability to perform assigned work is due to lack of knowledge or skills, terminating evacuation payments or taking disciplinary actions is not authorized.
7. An employee whose alternative work location during a pandemic crisis is his or her home may not provide dependent care while performing work. If dependent care is a concern, the employee may request work schedule changes to allow work hours during times dependent care is not a consideration. The employee also may request annual leave or other paid time off, such as earned compensatory time off or earned credits hours, or sick leave if appropriate, when dependent care is an issue.

#### C. Evacuation Payments for Evacuations Within the United States During Pandemic Health Crises

1. The authorized management official may provide evacuation payments to an employee who receives an evacuation order from his or her regular worksite and whose home (or a mutually agreeable alternative location) is declared a safe haven. Evacuation payments are to be paid on the employee's regular pay days.

2. Evacuation payments are based on an employee's rate of pay (including any applicable allowances, differentials, or other authorized payments) to which the employee was regularly entitled immediately before the authorized management official issued the evacuation order, regardless of the employee's work schedule during the evacuation period.
  - i. An employee will continue to receive night pay differential and Sunday premium pay based on the applicable hours of his/her work schedule prior to the evacuation order's effective date unless the employee renegotiates a work schedule in accordance with B.7. of this plan.
  - ii. An employee will continue to receive law enforcement availability pay, administratively uncontrollable overtime pay, standby duty premium pay, regular overtime pay for firefighters, physicians' comparability allowances, supervisory differentials, and non-foreign cost-of-living allowances and post differentials, as applicable.
  - iii. An employee will receive recruitment, relocation, and retention incentive payments, extended assignment incentive payments, and student loan repayments consistent with the employee's signed service agreement(s).
  - iv. The Defense Finance and Accounting Service (DFAS) will make all deductions from evacuation payments that are required by law, including retirement or Social Security deductions, authorized allotments, and income tax withholdings.
3. An employee's evacuation payments may not continue for more than 180 calendar days after the effective date of the evacuation order. Otherwise, evacuation pay will cover the calendar days during which an applicable evacuation order remains in effect, unless terminated earlier for failure to perform work or one of the reasons listed in E.2. of this plan.
4. The authorized management official will determine the days and hours the employee would have been expected to work during the selected time period (but for the evacuation) as follows:
  - i. For employees with a regularly scheduled tour of duty, the authorized management official must determine the days and

hours in the employee's normal basic workweek during the selected time period; and

- ii. For intermittent employees, the authorized management official must estimate the days and hours the employee would have been expected to work during the selected time period, not to exceed 80 hours in a biweekly pay period.

#### D. Allowances for Evacuations Within the United States During Pandemic Health Crises

1. The authorized management official may grant additional special allowance payments based on a case-by-case analysis, to offset the direct added expenses incidental to performing work from the designated safe haven during a pandemic health crisis. The discretionary authority does not change reasonable accommodation obligations under the Rehabilitation Act.
2. Discretionary special allowances might include, but are not limited to, increased costs for a computer, printer, fax machine, scanner, and telecommunications equipment incurred by an employee ordered to work from an alternative work location during an evacuation.
3. An employee is not entitled to special allowances unless the payments are specifically approved by the authorized management official.
4. Conversely, an employee may not be required to absorb expenses (e.g., long-distance calls, supplies, increased expenditures primarily to benefit the Department of Defense). Agencies may not augment their appropriations (i.e., require an employee to absorb additional expenses incidental to performing work at an alternative worksite) without specific statutory authority to do so.
5. Employees in the United States who are ordered to evacuate their official duty stations during a pandemic health crisis generally will not receive special allowance payments to offset the direct added expenses incident to travel outside the limits of their official duty station (e.g., travel and subsistence expenses).
6. Advance salary payments generally are not made to an employee who receives an evacuation order during a pandemic since the employee will receive evacuation payments on his or her regular pay days. If

exceptions are made, the advance salary payment is equivalent to a loan and is treated as a debt owed to the Federal Government.

#### E. Termination of Evacuation Payments

1. Evacuation payments terminate no later than 180 calendar days from the effective date of the evacuation order.
2. Payments terminate earlier than the 180 calendars for any of the following reasons, as applicable.
  - i. The employee is assigned to a new official duty station (e.g., an employee reassigned to a new duty station, an employee who assigns a telework agreement designating an alternative work location as his or her official duty station).
  - ii. The employee is separated from his or her position with the Department of Defense.
  - iii. The employee returns to the traditional worksite after rescission of the evacuation order.
  - iv. The authorized management official determines that payments are no longer warranted based on guidance provide by the appropriate officials regarding the status of the pandemic health crisis.

#### F. Employee Payroll Reconciliation Procedures

1. After the evacuation order is terminated, DFAS, in coordination with the employee's supporting Human Resource Office, will review the employee's payroll account and make adjustments on the basis of the rates of pay, allowances, and differentials, if any, to which the employee otherwise would have been entitled during the effective dates of the evacuation order.
2. The review will determine whether, during the period covered by evacuation payments, an employee was entitled to higher total pay than he or she received in total evacuation payments. The pay computation will take into account any changes in an employee's rate of basic pay that should have occurred during the evacuation payment period but did not (e.g., a within-grade increase) and additional hours worked beyond

the number of hours assumed in computing the evacuation payments if time and attendance records were not appropriately submitted.

3. If the employee's total pay determined by the review exceeds the amount of the evacuation payments, the employee will receive the additional amount. If the employee has been overpaid, DFAS will recover the debt.
4. Debt collection procedures are outlined in DoD 7000.14-R, Department of Defense Financial Management Regulation (DoDFMR), Volume 8, although the authorized management official may waive recovery of a debt for an advance salary payment when he or she determines that the recovery would be against equity or good conscience or against the public interest.

## **ANNEX F, PAY**

Pay administration rules and procedures are not anticipated to change in the event of a pandemic flu or other health crisis. Organizations with missions providing services requiring an increase in hours of work by employees should consider potential increased expenditures of funds for overtime or altered work schedules.

### **Pay during a Pandemic Health Crisis**

Procedures are in place through the Defense Civilian Pay System (DCPS) and the NAF payroll systems to ensure that pay continues throughout an emergency or crisis that might prevent regular record keeping or time and attendance (TA) reporting. DFAS will continue to make bi-weekly electronic payments based on the regular work schedule in the event that time and attendance reports are unable to be submitted. Any errors or changes must be submitted through regular TA reporting following the return to normal work routines. Supervisors and managers should plan to minimize the impact of the potential absence of regular timekeepers by ensuring several individuals are cross trained on appropriate procedures and systems. The Defense Civilian Pay System Manual should be readily available to backup timekeepers.

### **Waiver of Biweekly Limitations on Premium Pay**

In certain emergency or mission-critical situations, DoD has the discretion to apply an annual rather than a bi-weekly premium pay cap to FLSA exempt employees (1) performing work in connection with an emergency, including work performed in the aftermath of such an emergency, or (2) performing work critical to the mission of the agency. Such employees may receive premium pay under these conditions only to the extent that the aggregate of basic pay and premium pay for the calendar year does not exceed the greater of the annual rate for (1) General Schedule (GS) 15, step 10 (including any applicable special salary rate or locality rate of pay, or (2) level V of the Executive Schedule, whichever is higher. Additional guidance on this subject is set forth in Section 5547(b) of title 5, United States Code, Title 5, Code of Federal Regulations, Section 550.106, and DoD 1400.25-M, Civilian Personnel Manual, Subchapter 550 and 1930 at: Pay Administration (General) at: [www.cpms.osd.mil/cpm/cpm.aspx](http://www.cpms.osd.mil/cpm/cpm.aspx), scroll down and select Subchapter 550.

Note: NAF prevailing rate employees are covered under Subchapter IV of Chapter 53 of 5 USC and 5 CFR 532, DoD policy covering NAF white collar employees is found in DoD 1400.25-M, Civilian Personnel Manual (CPM), Subchapter 1405.



## ANNEX G, LEAVE

Federal civilian employees are afforded a very generous leave program and other paid time off flexibilities that offer assistance when they are unable to report for work and perform their duties because of illness or caring for a family member. These same leave programs and other flexibilities would also apply during a pandemic health crisis. There have been no additional flexibilities put in place that would be specific or limited to a pandemic health crisis. While supervisors and managers must work to ensure the accomplishment of mission essential functions, leave flexibilities should be allowed when possible. Utilizing these leave flexibilities will help protect the civilian workforce from infection, as well as help stop the spread of germs. The Office of Personnel Management (OPM) will provide additional guidance in the event of a pandemic health crisis, if needed. Employees who have questions about the leave program should first consult with their supervisor who may refer them to their supporting human resources office for further assistance.

As in regular situations, an employee who has been diagnosed with the flu (regular or pandemic flu) may use accrued sick leave or annual leave. Employees may also request an advance of annual or sick leave. A maximum of 30 days of sick leave may be advanced to an employee with a medical emergency. Supervisors may grant an advance of sick and annual leave consistent with agency policy. The amount of annual leave that may be advanced is limited to the amount of annual leave an employee would accrue in the remainder of the leave year. Employees do not have an entitlement to advance annual leave. In most cases, when an employee who is indebted for advance annual leave separates from Federal service, he or she is required to refund the amount of advance leave for which he or she is indebted. Employees may also request donated sick leave under the Component or agency's voluntary leave transfer program or an established emergency leave transfer program (when established by OPM at the direction of the President), or use any earned compensatory time off, earned compensatory time off for travel, or earned credit hours. In addition, an eligible employee may invoke his or her entitlement to unpaid leave (up to 12 weeks of leave without pay) under the Family and Medical Leave Act (FMLA). An employee may substitute his or her available paid leave when invoking FMLA.

Additional DoD guidance on leave can be found in DoD 1400.25-M, Civilian Personnel Manual, Subchapter 630, Leave at: [www.cpms.osd.mil/cpm/cpm.aspx](http://www.cpms.osd.mil/cpm/cpm.aspx), scroll down and select Subchapter 630.

Detailed information on the Federal Leave Program is available through a series of Fact Sheets at [www.opm.gov/pandemic/agency6f-leave.pdf](http://www.opm.gov/pandemic/agency6f-leave.pdf). Questions and Answers regarding the use of leave are available on the OPM Pandemic site at [www.opm.gov/pandemic/agency3b-leave.pdf](http://www.opm.gov/pandemic/agency3b-leave.pdf). Additional information is available in the OPM guide, *Human Capital Planning for Pandemic Influenza*, Section 1-D

Leave Flexibilities. NAF employees with questions regarding NAF leave programs and eligibility should contact their NAF Human Resources office.

Employees who are affected by natural disasters (to include a pandemic crisis) but who are not required to evacuate may be excused from work without charge to leave for reasonable periods of time. DoD 1400.25-M, Civilian Personnel Manual, Subchapter 610, Hours of Duty, ([www.cpms.osd.mil/cpm/cpm.aspx](http://www.cpms.osd.mil/cpm/cpm.aspx) scroll down and select Subchapter 610) permits authorized officials who close all or part of an activity in connection with extreme weather conditions or natural disasters (to include a pandemic crisis) to excuse appropriated fund employees administratively. When the administrative group dismissal is projected to exceed three days, the administrative order authorizing the group dismissal must document why other alternatives could not be used and the reason for the length of the anticipated dismissal.

## **ANNEX H, HIRING FLEXIBILITIES**

Numerous civil service hiring flexibilities exist that may be used during any emergency situation including a pandemic influenza. Please consult the specific regulation or DoD policy for clarifying information on use of each authority.

### **Emergency Hiring Authorities**

**30-Day Critical Need Appointments (5 CFR 213.3102(i)(1))** – This authority may be used to immediately appoint individuals with specialized knowledge, skills, abilities or competencies to address the outbreak while DoD Components explore other longer-term staffing options. Initial appointments may be for 30 days and may be extended for an additional 30 days.

**1-Year Temporary Emergency Need Appointments (5 CFR 213.3102(i)(3))** - DoD Components may make excepted appointments under this authority provided the Office of Personnel Management has authorized government-wide or DoD use of the authority in response to an emergency situation (e.g., pandemic influenza, natural disaster).

**Robert T. Stafford Disaster Relief and Emergency Assistance Act (P.L. 93-288, as amended)** – This authority allows the hiring of temporary staff, experts, and consultants to provide disaster relief during emergencies declared by the President. Components should consult legal staff regarding use of this authority.

### **Non-Competitive and Excepted Service Hiring Authorities**

**Highly Qualified Experts (5 U.S.C. 9903(b))** – This authority allows eminent experts in occupational fields of critical importance to be appointed for up to 5 years to promote the Department's national security mission. The DoD policy for this authority may be found at: [www.cpms.osd.mil/ASSETS/B6808E90F6FD4367977B9C5CBCC05587/hqe\\_jun272006.pdf](http://www.cpms.osd.mil/ASSETS/B6808E90F6FD4367977B9C5CBCC05587/hqe_jun272006.pdf)

**Experts and Consultants (5 CFR 304)** – This authority allows experts and consultants with a high degree of knowledge and expertise in particular areas to be appointed on an intermittent or temporary basis.

**Veterans Recruitment Authority (5 CFR 307)** – Appointments may be made to eligible veterans to any position in the competitive service at grade levels up to and including GS-11 or equivalent provided qualification

requirements are met. Appointees are hired under excepted appointments to positions that are otherwise in the competitive service. After two years of satisfactory service, the employee must be converted to career or career-conditional appointment, as appropriate.

**30% Disabled Veterans (5 CFR 316.302, 5 CFR 316.402, and 5 CFR 315.707)**- Veterans with a compensable service-connect disability of 30% or more may be appointed on a term and temporary basis and converted to a permanent position. Eligibility and qualification requirement criteria must be met.

**Intergovernmental Personnel Act (IPA) Assignments (5 CFR 334) –**

The authority may be used to temporarily assign employees between Federal agencies and State, local, and Indian tribal governments, institutions of higher education and other eligible organizations. Assignments may be made for up to 2 years and may be extended for up to 2 more years. Written agreements must be by all parties prior to the assignment.

**Local physicians, surgeons, nurses (5 CFR 213.3102(n))** – Schedule A appointing authority. Individuals are employed under contract or on a part-time or fee basis.

**Faculty members (5 CFR 213.3102(o))** – Schedule A appointing authority. Faculty members holding full faculty status from accredited colleges and universities may be appointed to scientific, professional, or analytical positions. Appointments are limited to 130 working days per year.

**Persons with disabilities (5 CFR 213.3102 (u))** – Schedule A appointing authority. Persons with mental, severe physical and psychiatric disabilities may be appointed on a time-limited or indefinite basis provided all appointment criteria are met.

**Health Care Professionals (38 U.S.C. 7403(g))** – Components may appoint certain health care professionals as listed under 38 U.S.C. 7403(a)(2) and amended by P.L. 109-289. A copy of the DoD delegation authority may be found at:  
[www.cpms.osd.mil/ASSETS/C0F99763ED254B1B85E57A41BE977D79/r edelegation\\_authority\\_032706.pdf](http://www.cpms.osd.mil/ASSETS/C0F99763ED254B1B85E57A41BE977D79/r edelegation_authority_032706.pdf)

**Student Temporary Employment Program (5 CFR 213.3202(a))** – Schedule B appointing authority. Students may be appointed to a 1-year appointment that may be extended in 1-year increments. Students must be

enrolled or accepted for enrollment in a diploma, certificate, or degree program at an accredited high school, technical or vocational school, 2-year or 4-year college or university, or graduate or professional school. Additional program requirements exist.

**Defense Career Intern Program (DCIP) (5 CFR 213.3202(n)) –**

Schedule B appointing authority. Individuals are appointed to a 2 year internship at the GS-5, 7, or 9 level or equivalent. Upon successful completion of the program, the individual may be noncompetitively converted to a permanent position in the competitive service. The DoD policy for this authority is located at:

[www.cpms.osd.mil/ASSETS/C86D3F4E7FD6471A809C870D1B53E473/dcip.pdf](http://www.cpms.osd.mil/ASSETS/C86D3F4E7FD6471A809C870D1B53E473/dcip.pdf)

### **Other Useful Hiring Authorities**

**Reemployed Annuitants (5 USC 9902(j))** – Retirees may be reemployed into positions where significant recruiting difficulty exists, where the position is of critical importance to the organization, to complete a project or initiative, when the individual has unique or specialized skills, or where mentoring is necessary to less experienced employees. Appointments may be on a time-limited or indefinite basis. Annuitants receive their full salary and annuity. The DoD policy for this authority may be viewed at:

[www.cpms.osd.mil/ASSETS/60CC2BA9843B40DCAA61EBEBA266AA40/employ\\_annuitants\\_clar\\_amend.pdf](http://www.cpms.osd.mil/ASSETS/60CC2BA9843B40DCAA61EBEBA266AA40/employ_annuitants_clar_amend.pdf)

Note: A Civil Service Retirement System (CSRS) or Federal Employees Retirement System (FERS) annuitant who elected to remain in CSRS or FERS following a move to the NAF employment system under portability of benefits law is considered a reemployed CSRS/FERS annuitant in all future service, whether in a NAF or civil service position. NAF Component regulations apply to individuals who retired under a Nonappropriated Fund retirement plan.

**Direct-Hire Authority (5 CFR 337.201-206)** – A number of government-wide and DoD direct-hire authorities exist. Components may immediately appoint any qualified individual to positions authorized with direct-hire authority after issuing public notice. Rating and ranking of candidates does not apply, nor does veterans' preference. For a list of government-wide direct-hire authorities, visit:

[www.opm.gov/employ/html/sroa2.asp#directhire](http://www.opm.gov/employ/html/sroa2.asp#directhire).

DoD direct-hire authorities include:

- ***Forensic Biologists at Department of Army:*** GS-401 series at grades GS-9 through GS-13 (or equivalent) at Fort Gilliam, Georgia in support of criminal investigation forensic testing requirements. Authority expires December 31, 2006.
- ***Accountants at the Office of the Under Secretary for Defense (Comptroller):*** To fill up to 30 accountant vacancies in GS-510 series at grades GS-14 and GS-15 in Washington, DC to prepare unqualified financial statements to assist DoD in improving financial practices. Authority expires September 30, 2007.
- ***Police Officers at DoD Installations:*** GS-0083 series at grades GS-5 through GS-13 at all nationwide locations in support of increased security requirements at installations. Appointing authority has specific parameters for use; please review prior to use. Authority expires when the national emergency due to terrorist attacks ends or September 30, 2007, whichever occurs first.
- ***Engineers at DoD Installations:*** GS-0801/0810/0819/0830/0850/0854/0855 series at grades GS-5 through GS-13 at all worldwide locations in support of national security. Appointing authority has specific parameters for use; please review prior to use. Authority expires when the national emergency due to terrorist attacks ends or September 30, 2007, whichever occurs first.

For more information on DoD direct-hire authorities, visit:

[www.cpms.osd.mil/fas/staffing/staffing\\_dh.aspx](http://www.cpms.osd.mil/fas/staffing/staffing_dh.aspx)

**Time-limited appointments (5 CFR 316; Subchapter 1950.6.5.2 for NSPS positions):** Temporary and term appointing authorities exist for work that is a non-permanent nature.

### **Furlough**

A furlough is an action to place employees in a temporary nonduty and nonpay status for non-disciplinary reasons. Under 5 CFR 752.404(d)(2), agencies are relieved of the requirement to provide employees advance written notice and an opportunity to respond when the furlough, lasting 30 days or less, is based on “unforeseeable circumstances,” such as a sudden breakdown in equipment, an act of nature, or sudden emergency requiring the agency to immediately curtail activities.



## ANNEX I, EMPLOYEE AND LABOR RELATIONS ISSUES

During a pandemic health crisis, as at any other time, effective employee/supervisory relationships are critical to an agency's ability to accomplish its mission. This section provides guidance on unique employee and labor relations issues that may arise in a pandemic health crisis. The questions and answers that follow discuss the roles and responsibilities of agency personnel.

### Safeguarding Employees in the Workplace

1. *If a supervisor suspects an employee of having a contagious illness, what should s/he do?*

The supervisor should: observe the employee who is suspected of having a contagious illness and document the associated behavior; express his/her concerns to the employee and ask the employee if he/she is able to continue to work; and encourage the employee to use his/her accrued leave.

2. *If an employee exhibits signs of the flu and refuses to use his/her accrued leave, may a supervisor order him/her to leave work? If so, will the employee be paid during the absence?*

Supervisors are responsible for maintaining a safe work environment, to include the well-being of all employees. To that end, an agency may prohibit an employee from remaining at work when sufficient evidence indicates that an employee is physically unable to perform the job or poses a risk to himself/herself or others. Suspicion is not enough. A supervisor may *order the employee to leave the workplace and place the employee on excused absence or accrued sick leave*. Absences that exceed 14 days may be considered a constructive suspension and subjected to review by a third party. Excused absence (administrative leave) is not an entitlement, and supervisors are not **required** to grant it. To that end, supervisors should consult their human resources office before taking any action.

3. *May a supervisor require an employee to have a medical exam or physical, or prevent an employee from returning to work until the results of an exam or physical show the employee is not contagious?*

Supervisors may *require* a medical examination when the position occupied by the employee contains established physical or medical requirements (see 5 CFR Section 339.301). If the criteria are met for requiring a medical examination and the employee refuses the exam, he or she may be disciplined, up to and including removal from Federal service. However, most positions do

not have established physical or medical requirements. Requiring a medical examination for these positions based on perception of an employee's flu-like symptoms is very problematic and should be avoided. However, when a supervisor observes an employee exhibiting signs of illness, the supervisor may express concern regarding the employee's health and remind the employee of his or her leave options for seeking medical attention.

## **Requiring Employees to Work**

### *1. Can employees be required to work during a Pandemic? If an employee refuses to report for work, will the employee be fired?*

A. Employees are expected to report for work and perform the normal duties of their positions. If an employee fails to report for duty without an administratively acceptable reason for his or her absence, the employee could be considered absent without leave (AWOL), which may result in a disciplinary action. Additionally, an employee is expected to carry out lawful supervisory orders to work, and may later choose to appeal or grieve an order after complying with it. An employee who refuses to comply with a supervisor's order may be disciplined, up to and including removal from Federal service.

B. If the worksite is affected by the Pandemic health crisis and is closed, employees who are not designated as emergency employees or mission-critical emergency employees will not be required to report to the official duty site. However, the employee's home may be declared a safe haven during a pandemic health crisis (see Annex E.2. para B.2). Employees who are designated as emergency employees or mission-critical emergency employees may be required to report for duty. Employees may request to telework from established alternate worksites or home, as appropriate. Employees who are incapacitated due to illness or who are caring for sick family members generally may not be eligible to telework. These situations should be determined on a case-by-case basis.

### *2. If an agency activates emergency preparedness plans and directs designated employees to alternative worksites, may a designated employee refuse to work?*

Any such designated employees are expected to report for work where deployed or remain at work in dismissal or closure situations, unless otherwise directed by their agencies. An agency may determine that individual circumstances warrant excusing a designated employee from duty and allowing the employee to use accrued leave. Employees who refuse to follow



emergency related orders may be subject to appropriate discipline, up to and including removal from Federal service.

3. *May an employee leave work or refuse to report for work because he or she is afraid of contracting the flu from co-workers?*

The Federal community is working to protect the health and safety of employees in the workplace by following recommendations from Departments and agencies such as the Department of Health and Human Services and the Centers for Disease Control and Prevention. Therefore, it is unlikely an employee will be directed to report for work when it is unsafe to do so. If an employee is concerned about contracting the flu from a co-worker, the employee should first raise the concern with his or her supervisor to discuss appropriate action, such as moving to a different work area, taking annual leave, or teleworking. If an employee refuses to report for work based on his or her personal belief that it is unsafe to do so, and the employee is not in an approved leave status, the employee may be considered AWOL. Additionally, employees who leave their duty stations without approval may be considered AWOL which may result in disciplinary action, up to and including removal from Federal service.

4. *Could an agency take disciplinary action against an employee who is absent without leave (AWOL)?*

An agency may discipline an employee who is AWOL. The decision to take such action is at the discretion of the agency, after consideration of the facts and circumstances regarding the unauthorized absence. Employees having difficulty reporting to work should discuss the circumstances of their absence with their supervisor in a timely manner.

5. *May an employee refuse to use required safety equipment (e.g., protective equipment or decontamination stations) provided by the agency?*

When an agency requires employees to follow certain safety procedures, such as using protective equipment or going through a decontamination station, it is to protect the safety and health of its employees. As with any other agency policy, employees are expected to comply with agency safety and health policies. Employees who refuse to comply may be subject to appropriate disciplinary action, up to and including removal from Federal service.

## **Leave Issues**

1. *May an employee who is not sick call in sick because he or she is afraid of*

*contracting the flu?*

No. Generally, an employee may use sick leave when he or she is incapacitated to work due to a physical or mental illness or is receiving medical examination or treatment. Employees may also use sick leave to care for family members who are ill or receiving medical examination or treatment. However, an employee who is not eligible for sick leave may request annual leave. An employee has the right to take annual leave, subject to the right of the supervisor to schedule the time at which annual leave may be taken. If an employee's request for leave is denied and the employee still refuses to report for work, the employee may be considered AWOL and may be subject to disciplinary action, up to and including removal from Federal service.

2. *May an employee call in sick after a supervisor has canceled annual leave and ordered the employee to report for work?*

An employee is entitled to use sick leave under certain conditions. However, under 5 CFR 630.403, an agency may grant sick leave only when supported by administratively acceptable evidence, which may include an employee's certification as to the reason for his or her absence. If the supervisor does not grant the request for sick leave or any other leave, the employee may be considered AWOL if they fail to report for work. An agency may take disciplinary action for AWOL, up to and including removal from Federal service.

## **Labor Relations**

*What labor-management relations flexibilities exist during an emergency situation?*

In an emergency, management may alter working conditions of bargaining unit employees as deemed necessary prior to completing bargaining. However, post-implementation bargaining may be required. In this regard, if management follows applicable procedures contained in existing collective bargaining agreements, bargaining would not be required over the procedure. In situations where an agency wishes to use different procedures, or where there are no existing contractual procedures or past practices covering the action, an agency may have post-implementation bargaining obligations. Management should advise the union as soon as practicable regarding the need to implement changes during an emergency. With regard to any of these situations, supervisors should seek guidance and advice from their servicing labor relations practitioners.

## **ANNEX J, BENEFITS DURING AN EMERGENCY**

### **J.1. Appropriated Fund Employee Benefits Information**

#### **Beneficiary Forms**

In a pandemic, as with any unexpected, emergency or normal routine situation, it is imperative for employees to have up-to-date beneficiary information correctly completed and filed at the appropriate location. Employees are encouraged to maintain a copy of each new beneficiary form completed and to let a family member or executor know the whereabouts of these forms. There are several types of beneficiary forms to designate benefits payable following the death of an employee. These forms include the Standard Form 2823, Designation of Beneficiary, Federal Employee's Group Life Insurance (FEGLI), Standard Form 2808, Designation of Beneficiary Civil Service Retirement System, Standard Form 3102, Designation of Beneficiary, Federal Employee's Retirement System, Standard Form 1152, Designation of Beneficiary, Unpaid Compensation of Deceased Civilian Employee, and TSP-3, Thrift Savings Plan, Designation of Beneficiary.

The Standard Forms are available electronically by clicking on the Office of Personnel Management's (OPMs) web site at [www.opm.gov/forms](http://www.opm.gov/forms). The TSP 3 can obtain a copy from the Thrift Savings Plan (TSP) Homepage at [www.tsp.gov](http://www.tsp.gov). Completed forms SF 1152, 2823 and 3102 should be submitted to the servicing personnel office (or according to component or agency direction). The SF 2808, if applicable, must be submitted to OPM at the address on the reverse side of the form. The TSP 3 should be sent to the Thrift Board at the address on the reverse side of the form.

#### **Federal Employees' Health Benefits (FEHB)**

In the event of a natural disaster or other emergency situation if an employee is enrolled in a health plan provider/carrier participating in the FEHB program, their coverage will continue under their current plan. Those covered under a fee-for-service plan may use any medical provider, just as they did before and the plan will either reimburse the enrollee or pay the provider directly for all covered services.

In some cases local Health Maintenance Organizations (HMOs) could be affected to the degree that services are no longer available in specific areas. If that situation arises, the Office of Personnel Management (OPM) will quickly work

with the HMO provider to develop alternative options for those covered under that specific plan.

If the emergency situation is a large scale event, OPM may also request carriers to demonstrate maximum flexibility under their OPM contract by relaxing certain provisions for pre-certification requirements or requirements for notification and levels of benefit payments when victims are taken to a non-plan and or non-PPO hospital. Additionally, OPM may also ask carriers in the affected area to make certain that FEHB members get additional supplies of medications as backup for emergency situations if necessary. In the event of a Level Orange alert, these procedures are automatically put in place by OPM.

Employees who are affected by the results of a natural disaster or declared emergency situation and experience problems with their FEHB carrier should contact their servicing personnel office. Carrier or OPM contact information will be posted on the OPM and component/agency websites in the event of a specific emergency situation.

### **Federal Employees' Group Life Insurance Program (FEGLI)**

#### **Filing a FEGLI Claim**

If a Federal employee has died or been dismembered, or if an eligible member of an employee's family has died during an emergency situation or natural disaster, the servicing personnel office or benefits center should determine if the employee had coverage under the FEGLI Program and be prepared to assist the survivors with claims.

The Office of Federal Employees' Group Life Insurance (OFEGLI) may establish a special toll free number and put in place special procedures for assisting individuals with questions or claims for a person covered by FEGLI. Typically, a special team is trained and assigned to assist. In some events telephonic claims are accepted. Every possible measure is taken to make forms available and to provide personal and appropriate assistance during emergency situations. Contact a service representative at 1-800-633-4542 if you have questions.

If it is uncertain that an individual was covered under FEGLI or if there is concern whether a claim is appropriate, it is best to contact OFEGLI at the number established for the specific situation as soon as possible. OFEGLI has had experience with disaster situations, and if and when necessary, will apply expedited procedures used successfully in the past. In the event of a pandemic, an alert will be sent to agency benefits officers providing details of expedited procedures.

## FEGLI Coverage

Most Federal employees, unless they waive coverage, have Basic Life Insurance under the Federal Employees' Group Life Insurance Program. Basic Life Insurance is equal to the actual rate of annual basic pay (rounded to the next \$1,000) plus \$2,000, or \$10,000, whichever is greater. In addition, there is an Extra Benefit for employees under age 45: double life insurance benefits until age 36, decreasing at 10 percent per year until age 45, at which time the extra coverage will end.

Some employees may also have FEGLI optional insurance coverage. Optional coverage for employees may be \$10,000 (Option A - Standard, which doubles in case of accidental death), and/or one to five multiples of pay (Option B - Additional). Option C - Family insures eligible family members for up to five multiples of coverage, with each multiple equal to \$5,000 upon the death of a spouse and \$2,500 upon the death of an eligible child.

Life insurance benefits are paid under a statutory order of precedence: first, to the designated beneficiary; if none designated, to the surviving spouse; if none, to the child or children and descendants of deceased children, by representation; if none, to any surviving parents; if none, to the duly appointed executor or administrator of the estate; if none, to the next of kin (according to the laws of the state in which the deceased resided). There are exceptions to this order if the insurance coverage has been assigned to someone or if there is an eligible court order specifying a different order.

### FEGLI Accidental Death and Dismemberment

Basic Life Insurance also includes Accidental Death and Dismemberment coverage for employees (but not for retirees). Accidental death benefits under Basic are equal to the amount of Basic Insurance, but without the Extra Benefit. Accidental death benefits are also available with Option A coverage, providing an additional \$10,000 of coverage. Accidental death benefits under Basic and Option A are paid in addition to any other FEGLI coverage that may be payable.

If an employee enrolled in the FEGLI program loses a limb or eyesight (in one or both eyes), they may be eligible for Accidental Dismemberment benefits. These benefits are available under Basic Insurance and Option A, for active Federal employees only.

Life insurance benefits under the FEGLI program would be paid in addition to any workers' compensation, Social Security, Civil Service Retirement System or Federal Employees' Retirement System survivor benefit, or Thrift Savings Plan payment. For more information about life insurance, read the Federal Employees'

Group Life Insurance Program Booklet, FE 76-21, on the FEGLI homepage at [www.opm.gov/insure/life](http://www.opm.gov/insure/life).

### **Federal Long Term Care Insurance Program (FLTCIP)**

Enrollees in the FLTCIP who have any questions about their coverage or eligibility for benefits should contact Long Term Care Partners at 1-800-582-3337.

Any special procedures instituted by Long Term Care Partners for FLTCIP enrollees, who live in areas affected by an emergency and miss premium payments during a time of crisis, will be posted on component and agency websites as well as [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters) this site as they become available.

### **Federal Flexible Spending Account Program (FSAFEDS)**

FSAFEDS is a program allowing employees to contribute pre-tax salary to an account that can be used to pay for out-of-pocket medical expenses and dependent care. In an emergency, it is possible, though rare, that a payroll servicing agency may miss taking an FSAFEDS allotment from an employee's pay for one or more pay periods. That should be rare, because these agencies only make changes to the FSAFEDS allotments if there is a change in the amount of the allotment. For most enrollees, there isn't a change in FSAFEDS allotments from one pay period to the next. In the event an FSAFEDS enrollee dies, no further funds would be contributed to an FSA. Claims will be accepted for expenses paid on behalf of any surviving spouse and dependents until all previously allotted funds are reimbursed.

If there are any issues with FSAFEDS allotments or claims that are causing a hardship for employees and their families as the result of an emergency situation, they should be instructed to e-mail [fsa@opm.gov](mailto:fsa@opm.gov) or call FSAFEDS at 1-877-372-3337 (TTY 1-800-952-0450).

### **CSRS Death/Health Benefits for Spouses of Employees**

A spouse or former spouse of a Federal employee, who dies as a result of a natural disaster or other declared emergency situation, should contact the deceased employee's local servicing personnel office or their agency. See component and agency benefits counselor contact information at the end of this annex. If this is not possible, the Office of Personnel Management (OPM) Center for Retirement and Insurance Services may be contacted for assistance at 1-800-307-8298 to learn how to apply for survivor benefits.

A surviving spouse or former spouse of a Federal employee may be entitled to an annuity. To qualify for a survivor annuity, the spouse must have been married to

the employee a total of 9 months. This requirement does not apply if there is a child born of the marriage or if the spouse's death is accidental.

Those who qualify for an annuity will receive 55 percent of the employee's accrued benefit. If a larger benefit would result, the spouse or former spouse will receive the smaller of : 55 percent of 40 percent of the deceased employee's high-3 average pay or 55 percent of what the employee's annuity would have been had they worked until age 60. OPM will honor valid court orders for spousal benefits.

This survivor annuity ends when the spouse/former spouse dies or remarries before the age of 55.

Federal Employees' Health Benefits (FEHB) Program coverage may continue if the deceased employee was enrolled for Self and Family when they died.

Survivor benefits of CSRS Offset employees may be subject to an offset equal to the value of the offset service in the Social Security survivor benefit. The offset only applies if the survivor is eligible for Social Security benefits based on the deceased employee's employment.

Benefits for children may also be payable.

### **CSRS Benefits for Survivors of Unmarried Employees**

There would be no monthly survivor annuity benefit payable if the employee was not married and had no dependent children or living former spouse eligible for benefits. If applicable, a lump sum of the Federal employee's retirement contributions would be paid to survivors under the statutory order of precedence: first, to the designated beneficiary; if none designated, if none, to the child or children and descendants of deceased children, by representation; if none, to any surviving parents; if none, to the duly appointed executor or administrator of the estate; if none, to the next of kin (according to the laws of the state in which the deceased resided).

### **FERS Death Benefits for Spouses of Employees**

A spouse or former spouse of a Federal employee who dies as a result of a natural disaster or other declared emergency situation, should contact the deceased employee's local servicing personnel office or their agency. If this is not possible, the Office of Personnel Management (OPM) Center for Retirement and Insurance Services may be contacted for assistance at 1-800-307-8298 to learn how to apply for survivor benefits.

A surviving spouse or former spouse of a Federal employee may be entitled to an annuity. If the deceased Federal employee was married and worked for the Federal Government for at least 18 months, a surviving spouse may receive a lump sum payment. To qualify for a survivor annuity, the spouse must have been married to the employee a total of 9 months. This requirement does not apply if there is a child born of the marriage or if the spouse's death is accidental.

The lump sum payment, a two-part FERS benefit (which is called the Basic Employee Death Benefit) is an amount equal to the higher of one-half of the deceased employee's annual pay rate at death or one-half of the high-3 average pay, plus \$26,584.62 in 2006. Surviving spouses of Federal employees, who had more than 10 years of Federal service, may also qualify for a monthly survivor benefit. Social Security and other survivor benefit payments will not affect the lump-sum benefit.

Federal Employees' Health Benefits (FEHB) Program coverage may continue if the deceased employee was enrolled for the Self and Family option when they died.

Children's benefits may also be payable.

### **FERS Benefits for Survivors of Unmarried Employees**

There would be no monthly survivor annuity benefit payable if the employee was not married and had no dependent children or living former spouse eligible for benefits. If applicable, a lump sum of the Federal employee's retirement contributions would be paid to survivors under the statutory order of precedence: first, to the designated beneficiary; if none designated, to the surviving spouse said above there was no spouse ; if none, to the child or children and descendants of deceased children, by representation; if none, to any surviving parents; if none, to the duly appointed executor or administrator of the estate; if none, to the next of kin (according to the laws of the state in which the deceased resided).

### **Children's Death Benefits for Survivors of Employees**

Children qualify for survivor annuities if they are under 18 and unmarried. A child 18 or older may also qualify for a survivor annuity if incapable of self support because of a disability incurred prior to 18. In addition, a son or daughter 18 or older may be eligible for a survivor annuity up to age 22 if he or she is a full-time student at a high school, college, or other recognized educational institution. Each child of a surviving spouse or former spouse will be entitled to a monthly benefit of \$420.00 or up to \$1,260.00 per month divided by the number of eligible children in 2006. Each child who has no surviving parent or whose surviving parent was never married to the deceased Federal employee will be entitled to a



monthly benefit of \$504.00 or up to \$1,512.00 per month divided by the number of eligible children in 2006. Children's benefits amounts are periodically increased by cost of living increases.

The child's survivor benefit ends when they are 18 or when they are 22, if they are a full time student between the ages 18 and 22. The child's survivor benefits could also end if the child marries, dies or ceases to be a full time student.

### **Thrift Savings Plan (TSP)**

The Thrift Savings Plan (TSP) is administered by the Federal Retirement Thrift Investment Board. In the event of a natural disaster or declared emergency, the Thrift Investment Board may institute special procedures to accommodate employees participating in the Thrift Savings Plan and affected by the situation. Employees with TSP loans are of special concern as the Internal Revenue Code establishes very strict rules for repayments of loans from tax deferred savings plans such as the TSP. Employees who are affected by a natural disaster or declared emergency situation and who have a TSP loan or other questions about TSP, should call 1-877-968-3778 for assistance. Employees should apprise the TSP counselor that they are affected by the emergency crisis situation to ensure they receive accurate and up-to-date information that responds to their special needs.

TSP participant service representatives handle questions about loans, contribution allocations, interfund transfers, designations of beneficiaries and withdrawals for all participants. Employees can reach a TSP participant service representative by calling the Thrift Line at 1-877-968-3778; TDD: 1-877-847-4385. International callers who cannot use the toll free number should call 404-233-4400. Hours of operation are 7 AM through 9 PM Eastern Standard Time.

TSP correspondence and forms are mailed to different addresses depending on the purpose of the correspondence.

Routine correspondence should be faxed to 1-866-817-5023 or mailed to:

Thrift Savings Plan  
P. O. Box 385021  
Birmingham, AL 35238

Loan Payments (Loan Coupon with payment) Mailing Address:

Thrift Savings Plan  
P. O. Box 979004  
St. Louis, MO 63197-9000

Overnight Delivery:

U. S. Bank

Box 9004  
Government Lockbox SL-MO-C2GL  
1005 Convention Plaza  
St. Louis, MO 63101

### **TSP Death Benefits**

If a Federal employee who dies had a Thrift Savings Plan (TSP) account, their beneficiaries would be entitled to their entire account balance. The balance will be distributed according to their TSP Designation of Beneficiary form if they had one on file. If they did not complete a TSP Designation of Beneficiary form, their account will be distributed according to the statutory order of precedence: to their surviving spouse; if none, to their child or children and descendants of deceased children, by representation; if none, to any surviving parents; if none, to the duly appointed executor or administrator of the estate; if none, to the next of kin (according to the laws of the state in which the deceased resided).

To postpone paying Federal income tax, the surviving spouse may have all or any part of the payment transferred or “rolled over” to an Individual Retirement Account (IRA). If the surviving spouse does so, no Federal income tax would be paid on the funds until withdrawal from the IRA. A surviving spouse who receives the payment directly, may rollover all or any part of the payment into an IRA within 60 days. However, if the payment is made directly to the spouse, the TSP must withhold 20 percent for Federal income tax. If the TSP transfers the payment directly to the IRA, there is no Federal income tax withholding.

The tax advantages of a rollover are not available to the deceased employee’s children, parents, or estate. For more information about death benefit payments and tax consequences, ask the Federal employee’s employing agency representative or the TSP office for the notice, “Important Tax Information About Thrift Savings Plan Death Benefit Payments”.

To file a claim for death benefits complete TSP Form 17 and mail to:  
TSP Death Benefits Processing Unit  
Fairfax Post Office, DEDIS  
P. O. Box 4450  
Fairfax, VA 22038-9998  
Fax: 1-703-592-0170

You may obtain TSP forms, brochures and other information at [www.tsp.gov](http://www.tsp.gov) or by calling 1-877-968-3778.

### **Unpaid Compensation**

If a Federal employee dies in service, their survivors will receive a lump sum payment covering their final pay and unused annual leave. The lump sum is paid by the Federal employee's agency under the same order of precedence as the other payments described. Contact the deceased employee's servicing personnel office.

### **Workers' Compensation Benefits**

Workers' compensation benefits are available to employees and their families if the employee is injured or killed on the job. Compensation benefits are administered by the Department of Labor's Office of Workers' Compensation Programs. All related medical costs are covered in full. More Office of Workers' Compensation information about a specific emergency or natural disaster may be found at [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters) under the Tab, "Injured Employees".

### **Death Gratuity Payment**

A death gratuity payment, authorized by Public Law 104-208, Omnibus Consolidated Appropriates Act of 1997, Section 651, of \$10,000 may be payable when a civilian employee dies from a traumatic injury sustained in the line of duty. The gratuity is payable only when the Office of Workers' Compensation Programs has approved a death claim that is related to performance in the line of duty. The gratuity may be reduced by \$800 for funeral expenses paid under Section 8134(a) of title 5, United States Code and \$200 for expenses paid under Section 8133(4) of Title 5, United States Code.

### **DoD Component Benefits Contacts:**

#### **Department of the Air Force**

Benefits and Entitlements Service Team (BEST)

[www.afpc.randolph.af.mil/dpc/BEST\\_GRB/EBIS.htm](http://www.afpc.randolph.af.mil/dpc/BEST_GRB/EBIS.htm)

1-800-616-3775 IVRS

1-800-382-0893 TDD

OCONUS employees dial toll-free AT&T Direct Access number for country of call and then 800-616-3775

#### **Department of the Army**

Army Benefits Center – Civilian (ABC-C)

<https://www.abc.army.mil>

1-877-276-9287 IVRS (OCONUS see chart on ABC site for toll free numbers)

1-877-276-9833 TDD

#### **Department of the Navy**

Department of Navy Civilian Benefits Center (DoN CBC)

<https://www.civilianbenefits.hroc.navy.mil>

1-888-320-2917 IVRS

1-866-328-9889 TDD

OCONUS access DSN 487-1110, ask operator to dial “official off net call” to 1-888-320-2917

**Defense Commissary Agency (DECA)**

[www.commissaries.com](http://www.commissaries.com) (select Human Resources on top tool bar, then select Benefits at top on left. Each of the 284 commissaries have a POC for HR issues)

**Defense Contract Audit Agency (DCAA)**

DCAA receives service on benefits issues from DFAS

**Defense Contract Management Agency (DCMA)**

DCMA is serviced by the ABC-C for benefits

[www.dcmamilitary.com](http://www.dcmamilitary.com) employees select the “employees” option for access to EBIS and the ABC-C or may call

1-877-276-9287 IVRS

**Defense Finance and Accounting Service (DFAS)**

DFAS provides benefits services to DCAA, DISA, DoDIG, NDU and DAU

<https://ebis.satx.disa.mil> or by calling:

317-510-0454 or DSN 699-0454

**Defense Information Systems Agency (DISA)**

Benefits services provided by DFAS (see DFAS)

**Defense Intelligence Agency (DIA)**

DIA employees are provided internal information regarding access to benefits services

**Defense Logistics Agency (DLA)**

DLA provides benefits services for DHRA

[www.hr.dla.mil](http://www.hr.dla.mil) for EBIS

1-877-352-4762

TTY 1-800-750-0750

(Columbus, OH)

1-888-352-3373

TTY 1-800-654-5984

(New Cumberland, PA)

**Department of Defense Education Activity (DoDEA)**

[www.dodea.edu/offices/hr/oca](http://www.dodea.edu/offices/hr/oca)

(703) 588-3981

**Department of Defense Inspector General (DoDIG)**

Benefits services provided by DFAS (see DFAS)

**National Geospatial-Intelligence Agency (NGA)**

St Louis area employees call 1-800-777-6104

Washington Area employees call (301) 227-3400

**National Guard Bureau (NGB)**

Each state has an individual HR office providing benefits service, employees should contact their servicing HR office for benefits information

**National Security Agency (NSA)**

NSA employees are provided internal information regarding access to benefits services

**Uniformed Services University of Health Sciences**

Benefits services provided by Navy (see Navy)

**Washington Headquarters Services (WHS)**

[www.hrd.whs.mil](http://www.hrd.whs.mil)

(703) 601-2272

1-877-521-1923

WHS provides benefits services for:

American Forces Information Service

Defense Advanced Research Projects Agency

Missile Defense Agency

Defense Security Service

Defense Legal Services Agency

Defense Prisoner of War/MIA Office

Defense Security Cooperation agency

Defense Threat Reduction Agency

Joint Staff

Office of Civilian Health & Medical Program of the Uniformed Service

Office of Economic Adjustment

Office of the Secretary of Defense

TRICARE Management Activity

U. S. Court of appeals for the Armed Forces

## **J.2. Nonappropriated Fund (NAF) Employee Benefits Information**

### **NAF Health Benefits Program**

Questions about a DoD NAF HBP medical or dental plan administered by Aetna should be addressed to the Aetna Customer Service center at 1-800-367-6276. Questions about coverage under Health Maintenance Organizations (HMOs) should be addressed to the applicable HMO, or the servicing NAF Human Resources Office.

### **Retirement and Insurance Plans other than Health Benefits**

Each DoD NAF employer administers its own retirement and group insurance programs. Questions concerning retirement and insurance plans should be addressed to the servicing NAF Human Resources Office. Assistance regarding NAF retirement and insurance issues may also be obtained by calling the NAF contact numbers provided in Annex A.

### **Workers Compensation**

The workers' compensation program covering appropriated fund employees does not cover nonappropriated employees. Charges for work-related injuries sustained by NAF employees are payable under the Longshoremen's and Harbor Workers' Compensation Act (LHWCA). NAF employees who are currently receiving benefits under the LHWCA, or who are injured at work, should contact their local NAF Human Resource Office. Several NAF employers have central numbers which their NAF employees may call to ask questions about a job-related injury sustained as a result of an emergency or natural disaster.

### **DoD NAF Component Contact Number**

Department of the Air Force NAF Employees, 1-800-828-3065

Department of the Army NAF Employees, 703-681-7319

Department of the Navy, Commander, Navy Installations Command,  
NAF Employees, 1-877-414-5358

Department of the Navy, Navy Exchange Service NAF Employees, 757-440-4578

United States Marine Corps NAF Employees, 877-211-1518

Army and Air Force Exchange Service, NAF Employees 1-800-508-8466

## ANNEX K, COMMUNICATING INFORMATION TO THE WORKFORCE

Pandemic communications with the civilian workforce must focus on the dissemination of accurate and timely information. The workforce should be apprised of pandemic events and status, safeguards they can take to avoid infection, and the procedures they should follow regarding reporting-in and alternate work locations, should an outbreak occur. Pandemic messages should be factual, without being unnecessarily alarming. There is no need for Commands to develop communication materials; the OSD Public Affairs Office is instituting a Pandemic communication campaign that all Commands can leverage. This campaign includes: Public Service Announcements, brochures, and tri-folds, all of which are available for Command use and which can be found on [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters). Commands must, however, make every effort possible to widely disseminate information, via a variety of media, throughout its, military, civilian and contractor workforce. Communications should be ongoing and should take place prior to, during and after an event.

In preparation for, or in the event of a flu pandemic, the Department will coordinate with Federal government agencies and use the official DoD Pandemic Influenza website [www.dod.mil/pandemicflu](http://www.dod.mil/pandemicflu) as the primary repository of accurate and up-to-date information. This site will contain links to other authorized websites providing pandemic influenza information that has been cleared for release.

When directed by the President or the Secretary of Defense, DoD will conduct public affairs operations to contribute to the overall communication goals of the Department and the U.S. Government to minimize the spread and effect of pandemic influenza. The *DoD Implementation Plan for Pandemic Influenza*, Annex E, Public Affairs provides details as to how the Department will officially communicate messages and information in the event of a Pandemic Influenza. Annex E provides messages approved for initial use. Subsequent Public Affairs Guidance may alter or add to these messages. Messages follow:

- The primary goal of DoD in combating the spread of pandemic influenza in the U.S. military population and civilian population is to preserve the ability of our military and civilian workforce to provide for national defense.
- While there is no current pandemic influenza outbreak, there is still reason to be concerned. We aren't going to wait for a crisis to develop before we take steps to educate and safeguard the American people.



- Individuals should stay informed about pandemic influenza and prepare as they would for any emergency.
- Preparing now can limit the effects of a pandemic. Informed public participation and cooperation will be needed for effective public health efforts.
- The United States has been working with the World Health Organization and other countries to strengthen detection and response to outbreaks.
- If the new virus starts in Asia, limitations on travel, such as those used for SARS, may delay entry into the United States.
- It is unlikely that control measures will prevent pandemic influenza from entering the United States, but preparing now can limit the spread and effects of pandemic influenza.
- Domestically, the Department of Health and Human Services would be the lead Federal agency in charge of responding to a pandemic and DoD would act in a supporting role.
- While we are a supporting agency DoD must also focus on the health and well-being of U.S. military and civilian personnel.

The Department will work closely and coordinate with the Center for Disease Control (CDC), the Department of Health and Human Services (DHHS), the Department of State (DOS) and other appropriate U.S. Government agencies to develop consistent messages and information.

Other reliable sources of information authorized for use in communications are:

[www.pandemicflu.gov](http://www.pandemicflu.gov),  
[www.whitehouse.gov/infocus/pandemicflu/](http://www.whitehouse.gov/infocus/pandemicflu/)  
[www.opm.gov/pandemic](http://www.opm.gov/pandemic)  
[www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters)  
[www.hhs.gov/emergency/mediaguide/PDF](http://www.hhs.gov/emergency/mediaguide/PDF)  
[www.who.int/entity/csr/don/Handbook\\_influenza\\_pandemic\\_dec05.pdf](http://www.who.int/entity/csr/don/Handbook_influenza_pandemic_dec05.pdf)  
[www.deploymentlink.osd.mil/medical/medical\\_issues/immun/avian\\_flu.shtml](http://www.deploymentlink.osd.mil/medical/medical_issues/immun/avian_flu.shtml)

Within the Department, the Office of the Secretary of Defense (Public Affairs) is responsible for media relations and is, therefore, the central point of contact for information and messaging. Unauthorized DoD employees should be advised against providing information to the media or the public



Should a flu pandemic occur and spread abroad or in the U.S., the primary and most accessible source of information for most people and groups is the media, whether print, television, radio or the Internet. Information provided through these sources should be referred to for area closures or other vital local information.

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## ANNEX L, ASSESSING PLANS

The development, assessment and refinement of Command pandemic plans is essential if the Department hopes to continue its operations should such an event occur. Plans should include:

**Reviewing** relevant agency and Government wide human resources policies and practices

**Developing** human resources management strategies to deal with circumstances that may arise during a pandemic health crisis

**Testing** plans of action and telecommunications systems to ensure readiness

**Communicating** with employees, managers, and other stakeholders prior to, during, and after a pandemic health crisis

The OPM Pandemic website provides numerous Pandemic Planning guides and checklists to assist Commands with planning efforts. . Some of the planning guides provide suggestions for general preparations, while others provide information for handling specific situations that may arise. It is recommended that the checklist be utilized to assess current state of readiness and for future assessment of progress and overall preparation for dealing with a potential pandemic health crisis. The guides and checklists are available at [www.opm.gov/pandemic/agency/planning.asp](http://www.opm.gov/pandemic/agency/planning.asp).

The planning guides and checklist provided by OPM are general in nature and should be reviewed in conjunction with this guide, Command and organizational guidance, and overarching DoD pandemic influenza guidance and plans.

The following is an overview of the critical roles and responsibilities of components, agencies, commands, supervisors and employees in the event of a pandemic health crisis. Everyone has a role in preparedness.

### Local Commanders

- Ensure subordinate supervisors have executed their responsibilities
- Provide resources for training and testing of plans
- Communicate often and ensure communications and communication systems are effective
- Develop guidance on protecting sensitive information and providing for contingency hiring
- Encourage routine use of telework for those positions where telework may be appropriate
- Ensure employees with disabilities are identified, and communication and preparedness strategies in place

- Ensure information technology infrastructure is in place to support telework and remote communications
- Ensure the Command has in place an emergency report-in system and that all employees are aware of the system

### Supervisory Roles and Responsibilities

- Identify mission essential employees
- Develop a three deep order of succession for mission essential functions
- Plan for short- and long-term disruptions; identify those services that would not have to be performed in case of a pandemic
- Stay in constant touch with employees and leadership
- Know where to find information and help on human resources issues

### Employee Roles and Responsibilities

- Exercise preventive measures and healthy hygiene practices
- Be ready for alternative work arrangements; have your vital records “Go Pack” ready
- Protect sensitive information
- Stay in constant touch with management

The checklist on the following pages may be of help in identifying actions and considerations during preparation and planning for emergency situations. Other tools for exercising plans are available at [www.cpms.osd.mil/disasters](http://www.cpms.osd.mil/disasters).

DoD Workforce Emergency Preparedness Checklist		
Item	Action or Consideration	Status
1.	Are installation evacuation plans established and a process in place for regularly exercising those plans? Do the plans include civilian employees?	
2.	Have multiple evacuation/safe haven destinations been pre-established for civilian employees?	
3.	Have processes been identified for flow of information from Command leadership to Command personnel including civilian employees and their family members regarding evacuation procedures?	
4.	Are employees encouraged to provide emergency and alternate POC data and is this data readily available?	
5.	Have local and remote site data bases for maintaining contact information been established for civilian employees?	
6.	Is civilian employee emergency data updated at least annually?	
7.	Are civilian employees encouraged to develop and submit a pre-planned evacuation location, similar to the family care plans required of military members?	
8.	Have mandatory report-in procedures been established for civilian personnel for use in case of an emergency?	
9.	Have toll free numbers for emergency employee “report-in” been established?	
10.	Have local and long-distance “report-in” redundancies been established for civilian employees?	
11.	Have web-sites been pre-established and published that provide emergency information to the civilian workforce and their family members?	

DoD Workforce Emergency Preparedness Checklist		
Item	Action or Consideration	Status
12.	Have innovative methods been used to provide toll free “report-in” information for civilian employees, e.g., wallet cards/magnets?	
13.	Have plans been established for the civilian workforce to exercise report-in procedures?	
14.	Have civilian employee exercises been conducted?	
15.	Are emergency procedures and responsibilities included in new employee orientation and in-processing?	
16.	Are local up-to-date lists of assigned civilian personnel (e.g., by units or organization) as well as those serviced by the installation maintained with a back-up file at a geographically separate location, i.e., DCPDS data?	
17.	Are Commanding Officers/Heads of Installations aware of their human resource authorities and flexibilities in case of emergencies, e.g., evacuation/safe haven?	
18.	Does the Command have an “evacuation/disaster response “expert” positions FT or collateral and is incumbent assessed on this responsibility in their performance plan, including considerations for civilian employees?	
19.	Is there a cadre of civilian personnel trained on emergency procedures, e.g., entitlements, tracking, call center assistance?	
20.	Has a cross-functional team been established for emergency responses, e.g., HR, COOP, CEAP, IT?	

DoD Workforce Emergency Preparedness Checklist		
Item	Action or Consideration	Status
21.	Have agreements been pursued for cross-service/command/installation collaboration to ensure reciprocal assistance and continuing service when a location is impacted (in connection with COOP) that considers the civilian workforce?	
22.	Has the Command coordinated emergency efforts with other DoD/Federal agencies to leverage efforts and maximize efficiency/effectiveness?	
23.	Have local contact lists for key agencies and organizations been established in advance for future events, e.g., Red Cross, FEMA, SSA and available to the command or servicing civilian human resource office?	
24.	Have plans been tested via an actual exercise vice a tabletop exercise that include civilian workforce issues?	

Lessons Learned are helpful tools following a COOP or Telework exercise. Documentation of exercises and after action reports provide useful evidence to third parties, e.g., GAO/OPM, of agency preparedness efforts.

The following information may be used to develop a exercises to prepare for pandemic, including an assessment of such an exercise.

### **Pandemic Influenza Preparation Assessment**

#### **Exercise Parameters To Be Determined**

Participants:	Determine who will participate in the exercise, e.g., Mission essential employees or all employees?
Dates:	
Duration:	One to 3 days, or will the timeframe vary by employee
Reports:	All employees participating in the exercise should complete a report using the attached Objective Assessment. Determine management level for compilation of employee input, for example, branch or division directors and level for reporting overall results.
Actions:	Post Exercise 3 months after exercise, report on actions taken to address exercise findings 6 months after each exercise, conduct another exercise
Organizations Involved:	1) Participants : 2) Supporting Organizations : (Should include a toll free call in or other contact information numbers, IT and COOP support) 3) Exercise Monitor a) Kick off the scenario b) Add new circumstances to the scenario

SAMPLE Exercise Criteria				
	Completed	In Progress	Not Started	Comments
<b>Strategic Objective 1.</b> <b>Civilian personnel must be prepared to perform mission essential functions and services through a Pandemic Influenza, including the initial threat or oncoming first wave, through an actual pandemic health crisis and, if necessary, to help reconstitute governmental functions. To accomplish this objective the following elements and criteria should be evaluated:</b>				
<u>Identification of Mission Essential Functions:</u> Essential organizational functions that will enable continuation of vital services and responsibilities must be identified. Employees must be identified and notified of their status as mission essential. To plan for an expected absenteeism rate of up to 40%, pre-establishment of delegations of authority and Orders of Succession are vital. Assessment should include:				
1. Identification of mission essential functions.				
a. Were mission essential functions identified?				
b. Were essential functions, that cannot be performed from home or other locations, identified?				
	Completed	In Progress	Not Started	Comments
c. Were systems, functions or operations that could be performed from home or other locations identified?				
d. Can essential functions be				



performed beyond the existing 30 day requirement?				
2. Assess identification of mission essential employees.				
a. Were mission essential employees aware they were designated mission essential?				
b. Did mission essential employees know which of their duties were deemed mission essential?				
c. Were lines of succession established in writing, with attendant authorities and responsibilities, and communicated to employees?				
d. How deep were lines of succession established, i.e., one, two or three person deep?				
e. Were delegations of authority in place?				
f. Were delegations of authority at least three deep and communicated to employees?				
g. Were designated employees trained to assume lead positions?				

	Completed	In Progress	Not Started	Comments
h. Was geographic dispersion considered in establishing lines of succession and delegations of authority?				
i. If not, what plans were in place for conducting MEFs in areas where quarantine was in effect?				
j. Were plans for redundant operations made, e.g., Navy supporting Army for benefits processing?				
k. Were essential contractor services identified?				
l. Were provisions in these contracts that would facilitate continuity of essential contractor functions?				
<u>Interoperable Communications:</u> Continued operations during an emergency, including Pandemic Influenza, depend upon the availability and redundancy of critical communication systems. Employee knowledge and awareness of report-in procedures, as well as their familiarity with contact procedures during an emergency situation are also critical and must be addressed prior to the occurrence of a crisis.				
3. Assess effectiveness of employee report-in and organization emergency contact information to employees.				
	Completed	In Progress	Not Started	Comments
a. Did employees know the appropriate toll free number to call in and report their status?				
b. Was the toll free phone adequately staffed?				

c. Was employee data accurately captured, i.e., employee name, organization, status?				
d. Was accountability data transmitted to appropriate supervisor(s)?				
e. Could employees be contacted using the organization's phone tree system?				
f. How long did it take to notify all employees?				
g. Were periodic status updates provided based on exercise scenario, e.g., quarantine still in effect; didn't report to work etc., were the updates timely and did they reach all personnel?				
4. Assess effectiveness of critical communications.				
a. Were supervisors and their mission essential employees able to talk on essential matters via the telephone or other means as needed to accomplish mission essential work?				

	Completed	In Progress	Not Started	Comments
b. Were mission essential employees able to talk/communicate with colleagues?				
c. Were mission essential employees able to talk/communicate with non-DoD associates, e.g., OPM/HHS?				
<u>Support for Essential Functions and Alternative Work Site Capabilities:</u> Employees, especially those performing essential functions, must be able to have access to electronic and hardcopy documents, references, records and information systems needed to support essential functions during an emergency situation. Review of capabilities and planning must include identification and maintenance of vital systems that rely on periodic physical intervention by essential individuals. Planning must also include identification of records needed to sustain operations for 30 days or longer and ways to access those records from an alternative work site.				
1. Were mission essential employees able to work from home?				
a. Was remote access to classified and non-classified materials available?				
	Completed	In Progress	Not Started	Comments
· Computer available				
· VPN access available				
· CAC Readers installed				
· Needed files accessible				

· Files transmitted from home reached the worksite in readable format				
· Mission essential employees able to access the web for research				
· Server capacity sufficient				
· If server capacity not sufficient, were shifts assigned				
· Employees knew in advance what shift to use for server access				
· Server master identified for file download				
b. Did mission essential employees have a “Go Pack” ready (hard copy/Disk/Thumb Drive) (Go Pack – files necessary to perform work at an alternative work site, e.g., work/telephone numbers for those in and outside the organization including emergency contact information; regulations needed for research or for mission accomplishment, etc.)?				

	Completed	In Progress	Not Started	Comments
c. Were mission essential employees aware of parameters governing work at home, i.e., those found in a tele-work agreement, such as safeguarding security of data and information technology files?				
d. If mission essential employees were provided laptops, were they aware of how to use them, including obtaining access to systems at regular worksite; was any training provided?				
e. Were mission essential employees able to perform work using only a blackberry?				
f. Were files and data available on a shared drive?				
g. Were mission essential employees able to communicate from home or alternative work site via phone using either				
· Home phone				
· Cell phone (work)				
· Blackberry				
h. How were “at home” employee costs captured, e.g., use of home phone for long distance, and was a policy established regarding reimbursement?				

	Completed	In Progress	Not Started	Comments
i. Did employees have the supplies at home needed to do work (normal office supplies)?				
j. Were “at home” childcare requirements addressed?				
2. Assess availability of work for non-mission essential employees.				
a. Were non-essential employees cross trained to support mission essential employees (either through performance of mission essential or mission essential support functions)?				
b. Was necessary but non-essential work identified (important consideration if time away from regular work site is extensive)?				
3. Assess effectiveness of work at home.				
a. Were assignments made that could be done at home, i.e., deliverables, with timelines, identified?				
b. Were work measurements considered and agreed upon?				
c. How were timekeeping records obtained and maintained?				

	Completed	In Progress	Not Started	Comments
4. Assess effectiveness of identification of work assignments that could be temporarily suspended.				
a. Were non-essential functions identified that could be completed at a later date?				
b. Were plans in place for performing these functions following the emergency, e.g., corrected timecards, missed report suspense dates?				
Strategic Objective 2: People accomplish the mission of Federal agencies, and a potential pandemic influenza outbreak that could potentially affect up to 40% of the workforce, could compromise the ability of the Federal agencies to accomplish their mission. The Department must plan to deal with the potential human capital implications. Federal employees, and or their family members, may be infected, exposed or incapacitated. There may also be a need to limit potential exposure. Planning for mission continuity includes the ability of an organization to provide for the well being and care for employees prior to, during and following a PI.				



	Completed	In Progress	Not Started	Comments
<u>Communication to the Workforce.</u> Education of the workforce regarding health, safety, human resource issues, employee responsibilities and actions prior to a pandemic health crisis is critical. Every media available should be utilized to pre-position information and keep the workforce up-to-date on plans and help them understand their rights and responsibilities.				
1. Assess the availability of human resource information to the workforce.				
a. Were employees able to identify the types of leave available to them in the event they or their family members are infected, exposed or incapacitated, requiring the employee to stay away from the regular work site?				
b. Did essential employees have tele-work agreements?				
c. Were non essential employees aware of “safe haven” or tele-work capabilities during a pandemic health crisis?				
d. Did employees know how to communicate with their supervisors, and supervisors to employees, to check the status, well being and availability of employees for work?				

	Completed	In Progress	Not Started	Comments
e. Were employees aware of potential benefits issues and assistance available to them during such an event?				
f. Were employees aware of where they should seek medical treatment and information?				
2. Asses the ability of management to obtain and communicate official information regarding the onset and end of a catastrophic event necessary to put pandemic plans in place and then allow return to a normal functions.				
a. Is management aware of how they will be notified that a pandemic health crisis has occurred or is expected to occur and to put PI COOP plans in action?				
b. How will social distancing techniques be put in place and communicated to the workforce?				
<u>Actions to Protect and Safeguard:</u> Employees will look to management for guidance and assistance regarding protecting themselves and their co-workers from the spread of germs. Supervisors should be prepared to plan for and deal with these issues.				

	Completed	In Progress	Not Started	Comments
1. Assess management's ability to handle staff who become ill in the workplace for their own and other's well being.				
a. Were plans in place to mitigate further infection control to prevent the spread of the virus, e.g., has information been communicated regarding methods to prevent the spread of germs?				
b. Does management have a plan to identify other staff members that may have potentially been in contact with staff member(s) who became ill?				
c. Are supplies available or employees aware of methods to decontaminate/clean areas the staff member may have infected that may be used by other employees?				
d. Is management aware of steps to take to remove a potentially infected employee from the worksite and to ensure the employee is well and not-contagious before returning to the worksite?				

	Completed	In Progress	Not Started	Comments
e. Has consideration been given to the potential for utilizing installation medical treatment facilities or Employee Assistance Programs to provide trained health care provider assistance in diagnosing and verifying potential influenza in an employee at the worksite who appears ill?				
f. Are sufficient and available infection control supplies (e.g., hand sanitizers, environmental cleaning supplies and educational materials) available?				
g. Have contracts been evaluated to determine if modification will be required for housekeeping to clean facilities and equipment?				
h. Is the Human Resources staff able to provide adequate, proper advice on how to handle employees who become ill in the workplace?				
i. Does management know how to respond to employee questions on availability of vaccines for civilian employees? Does he or she know where to find those answers?				

	Completed	In Progress	Not Started	Comments
2. Some work must be accomplished at the regular work site. Additionally, some employees may become ill or be exposed prior to official notification of the onset of a pandemic health crisis. Management should be prepared to socially distance employees at the regular work site in either event. Is management aware of guidance available at <a href="http://www.cpmc.osd.mil/disasters">www.cpmc.osd.mil/disasters</a> as well as <a href="http://www.opm.gov">www.opm.gov</a> to assist with human capital issues during a crisis or pandemic influenza?				
a. For work that had to be done in the office, were alternative plans made for accomplishing that work?				
b. Was consideration given to spacing employees sufficiently apart to promote and support social distancing?				
c. If employees are socially distanced at the worksite can they access their files on a shared drive or otherwise have access to their work files if not located at their regular desk or site?				

	<b>Completed</b>	<b>In Progress</b>	<b>Not Started</b>	<b>Comments</b>
d. Was consideration given to shift work to preclude all employees being at the regular worksite at the same time?				
e. Was consideration given to adjusting parking or making other arrangements for essential employees to commute to work using personal rather than public transportation?				

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## ANNEX N, EMERGENCY AUTHORITIES

Human Capital Authorities Available for Emergency Response		
Authorization	Basis of Authority	Contact
Evacuation Authorities and Determination of Safe Havens		
Evacuation Authorities	Sections 5521 through 5527 of Title 5 United States Code (USC) authorize heads of agencies to provide special pay and allowances during an emergency.	CPMS Field Advisory Services 703-696-6301 ext 2 (DSN 426)
NAF Employees	Section 5725 of Title 5 USC authorizes transportation at Government expense to a safe haven location when an evacuation is authorized or ordered. In addition to the cites above, NAF policy is located in DoD 1400.25-M, Subchapter 1405.	<a href="mailto:pay@cpms.osd.mil">pay@cpms.osd.mil</a> <a href="mailto:naf@cpms.osd.mil">naf@cpms.osd.mil</a>
OCONUS (Outside Continental United States) Evacuation	Executive Order 10982 designates the Department of State to order an evacuation in OCONUS locations. Department of State Standardized Regulation (DSSR) C600 and C640; Title 5 Code of Federal Regulations (CFR) 550 Subpart D and Joint Travel Regulation (JTR) II C12000 and Appendix 1 of JTR II provide guidance on an Order to Evacuate, Safe Haven Determinations, Travel and Transportation, Advance of Pay, Special Pay and Evacuation Pay (delegations).	CPMS Field Advisory Services 703-696-6301 ext 2 (DSN 426) <a href="mailto:pay@cpms.osd.mil">pay@cpms.osd.mil</a>
NAF Employees	In addition to the information above, NAF policy is found in DoD 1401.1-M, Chapter 7, Section C7.2.16.	<a href="mailto:naf@cpms.osd.mil">naf@cpms.osd.mil</a>

Human Capital Authorities Available for Emergency Response		
Authorization	Basis of Authority	Contact
Evacuation Authorities and Determination of Safe Havens		
CONUS (Continental United States)	The authority to declare an evacuation resides with the President, local installation commanders, or other authorities (as named in C12000 (c)(1) of the DoD JTR) who determine the need to evacuate and define the geographic area of a designated safe haven for DoD civilians. Title 5 Code of Federal Regulations (CFR) 550 Subpart D and Joint Travel Regulation (JTR) II C12000 and Appendix 1 of JTR II provide guidance on an Order to Evacuate, Safe Haven Determinations, Travel and Transportation, Advance of Pay, Special Pay and Evacuation Pay (delegations).  In addition to the information above, NAF policy is found in DoD 1400.25-M, Subchapter 1405.	CPMS Field Advisory Services 703-696-6301 ext 2 (DSN 426)  <a href="mailto:pay@cpms.osd.mil">pay@cpms.osd.mil</a>
NAF Employees		<a href="mailto:naf@cpms.osd.mil">naf@cpms.osd.mil</a>
Emergency Hiring		
Special Hiring Need Authority	5 CFR 213.3102(i)(2) authorizes appointing officials to hire individuals for 30-days when unusual or special circumstances exist such as a critical hiring need. Appointments may be extended for an additional 30 days. Individuals may not be employed under this authority for more than 60 days in a 12-month period. Additionally, the authority may not be used to extend an existing temporary appointment. Appointing authority is typically held by the servicing Human Resources office (e.g., CPOC, HRSC).  DoD 1400.25-M, Subchapter 1403 and Component regulations apply.	CPMS Field Advisory Services 703-696-6301 ext 4 (DSN 426)  <a href="mailto:Staffing@cpms.osd.mil">Staffing@cpms.osd.mil</a>
NAF Employees		<a href="mailto:naf@cpms.osd.mil">naf@cpms.osd.mil</a>



Human Capital Authorities Available for Emergency Response		
Authorization	Basis of Authority	Contact
<b>Emergency Hiring</b>		
Emergency Hiring	Under 5 CFR 213.3102(i)(3), the Office of Personnel Management (OPM) may authorize appointing officials to hire individuals for up to 1 year when a critical hiring need exists and when traditional competitive procedures are impractical. Appointments may be extended for an additional year unless authorizing guidance states otherwise. Time limitations typically do not apply to seasonal and intermittent work schedules (see 5 CFR 213.104). In the event of an emergency, CPMS/CPP will request this hiring authority from OPM.	CPMS Field Advisory Services 703-696-6301 ext 4 (DSN 426)  <a href="mailto:Staffing@cpms.osd.mil">Staffing@cpms.osd.mil</a>
NAF Employees	Once approved by OPM the appointing authority is typically held by the servicing Human Resources office (e.g., CPOC, HRSC). DoD 1400.25-M, Subchapter 1403 and Component regulations apply.	<a href="mailto:naf@cpms.osd.mil">naf@cpms.osd.mil</a>
<b>Waiver of Biweekly Premium Pay Cap</b>		
Waiver of the Biweekly Limitation on Premium Pay	The biweekly limitation on premium pay may be waived for employees who are working support of an emergency or its aftermath (see 5 CFR 550.3.1.1). The authority to determine existence of an emergency is delegated to officials who exercise personnel appointing authority (normally the head of an installation or activity).	CPMS Field Advisory Services 703-696-6301 ext 2 (DSN 426)  <a href="mailto:pay@cpms.osd.mil">pay@cpms.osd.mil</a>
NAF Employees	Not applicable	

Human Capital Authorities Available for Emergency Response		
Authorization	Basis of Authority	Contact
<b>Voluntary Separation Incentive Pay (VSIP) Waivers</b>		
<p>Redelegation of Authority to Waive the Reemployment Restriction Against Reemploying Former Employees who Received VSIP and Waive Re-payment of VSIP</p> <p>NAF Employees</p>	<p>Under 5 U.S.C. 9902(i)(6)(A), reemployment by a DoD Agency is restricted within 12 months of receiving a separation incentive. Under 5 U.S.C. 9902(i)(6)(B), reemployment by any Federal Agency within 5 years, including under a personal services contract, requires repayment of the gross amount of the separation incentive. Authority to waive these two sections was delegated by the Deputy Secretary of Defense to the USD(P&amp;R) on December 24, 2003 and was redelegated to the DUSD(CPP).</p> <p>In addition to the information above, NAF policy is found in DoD 1400.25-M, Subchapter 1417.</p>	<p>CARE Division (703) 696-1799</p> <p><a href="mailto:naf@cpms.osd.mil">naf@cpms.osd.mil</a></p>
<b>Priority Placement Program (PPP) Waivers</b>		
<p>Waiver of Criteria to Clear the PPP in emergency situations</p> <p>NAF Employees</p>	<p>The authority for reviewing and approving exceptions to the PPP is addressed in the Civilian Personnel Manual, SC1800. In accordance with SC1800.4.4.4., the DASD (CPP) has authority to approve requests for major PPP policy exceptions. "Major" exceptions are those that apply to entire commands, agencies, or Components. The Civilian Assistance and Re-employment (CARE) Division has the authority to approve waivers and exceptions for individual DoD activities.</p> <p>Not applicable</p>	<p>CARE Division (703) 696-1799</p>

Human Capital Authorities Available for Emergency Response		
Authorization	Basis of Authority	Contact
Emergency Leave Transfer Program		
Emergency Leave Transfer Program (ELTP)	Title 5 USC 6391 provides the authority for the President to direct OPM to establish an emergency leave transfer program in the event of a major disaster or emergency. 5 CFR 630.1101(c) provides regulations for the program. Following a directive from the President, OPM will issue a memorandum authorizing agencies to administer an ELTP. The Under Secretary of Defense (Personnel and Readiness), in turn, may further delegate authority for ELTP to the Secretaries of the Military Departments and the Heads of the Defense agencies and DoD Field Activities. The authority may be re-delegated in writing to appropriate levels within an organization.	CPMS Field Advisory Services 703-696-6301 ext 2 (DSN 426)  <a href="mailto:pay@cpms.osd.mil">pay@cpms.osd.mil</a>
NAF Employees	NAF Employee Leave Transfer programs may be established under the provisions of DoD 1400.25-M, Subchapter 1406	<a href="mailto:naf@cpms.osd.mil">naf@cpms.osd.mil</a>

Employees should be encouraged to complete and carry an emergency contact card completed with emergency contact information.

<b>EMERGENCY CONTACT CARD</b>	
<b>Personal Information</b>	
<b>Name:</b> <b>Home Address:</b>  <b>Phone(s) – Home:</b> <b>Cell:</b> <b>Work:</b> <b>Allergies/Medical Conditions:</b>	
<b>Emergency Contact Information</b>	
<b>Local Contact Name/Relationship:</b> <b>Phone(s) – Home:</b> <b>Cell:</b> <b>Other:</b> <b>Address:</b>  <b>Alternate/Out of Town Contact Name/Relationship:</b> <b>Phone(s) – Home:</b> <b>Cell:</b> <b>Other:</b> <b>Address:</b>  <b>Family meeting place other than home address:</b>	
<b>Personal Work Information</b>	
<b>Organization Name:</b> <b>Emergency Report-In Number:</b> <b>Supervisors Name:</b> <b>Phone(s) – Work:</b> <b>Other:</b> <b>e-Mail Address (Work):</b>	
<b>Important Numbers and Websites</b>	
<b>Poison Control Center: 800-222-1222</b> <b>Fire/Police/Ambulance:</b> <b>Disaster Information Websites:</b> <a href="http://www.opm.gov">www.opm.gov</a> <a href="http://www.cpms.osd.mil/disasters">www.cpms.osd.mil/disasters</a> <a href="http://www.fema.gov">www.fema.gov</a> <a href="http://www.dod.mil/pandemicflu">www.dod.mil/pandemicflu</a>	